Chapter 1 - Organization

1.1.1 A written directive describes the agency's organizational structure and functions and is available to all personnel.

Commentary: The agency may determine its own organizational structure. In organizing/ reorganizing, the agency should consider applicable standards within the various chapters of the standards manual. The intent of this standard is to provide a written description of the agency's organization. The agency's organizational chart (1.1.2) should coincide with this description.

Functional responsibility may be assigned to an individual position or a component specifically created and staffed. Functional responsibility for several activities could also be assigned to a single position or component, as needed. (M M M)

1.1.2 The agency's organizational structure is depicted graphically on an organizational chart that is reviewed and updated as needed. The chart is accessible to all personnel.

Commentary: The chart should coincide with the written description and reflect the formal lines of authority and communication within the agency. (M M)

1.1.3 Each employee is accountable to only one supervisor at any given time.

Commentary: None. (M M M)

1.1.4 Each organizational component is under the direct command of only one supervisor.

Commentary: Employees and supervisors may have several assignments. The intent is that an employee be made responsible to only one supervisor for each assignment. (M M M)

- **1.1.5** A written directive requires that:
 - a. responsibility is accompanied by commensurate authority; and
 - b. each employee is accountable for the use of delegated authority.

Commentary: The intent of the directive should be to establish a policy guideline for the delegation of authority. At every level within the agency, personnel should be given the authority to make decisions necessary for the effective execution of their responsibilities. The delegation of authority should be consistent with the agency's organizational values and mission statement. **(M M M)**

1.1.6 A written directive states that supervisory personnel are accountable for the activities of employees under their immediate control.

Commentary: None. (M M M)

- **1.2.1** The agency has a risk management program which:
 - a. has an identifiable person in charge;
 - b. has a written description of duties and responsibilities;

- c. provides adequate liability coverage; and
- d. requires an annual review and written report of issues and conditions that affect risk and liability.

Commentary: The agency should consider both external and internal areas that can be the basis of injury to the public or other employees and create liability for the agency. Areas of concern include possible omission or failure of policies and procedures, employee or supervisor negligence, and deficient equipment or training. Additionally, the physical conditions inside and outside the facility should be reviewed to identify potential problems that could cause physical injury.

Liability insurance should be carefully reviewed by professionals to ensure all likely risks are adequately covered and the agency understands any limitations of the policies both in coverage and amount. (M M M)

- **1.2.2** The agency develops and distributes a written policy on use and expectations of privacy concerning:
 - a. agency telephones and fax machines;
 - b. agency property; and
 - c. lockers.

Commentary: Agency rules on personal uses of phones, faxes, and other agency items and equipment should be clearly understood by employees. The agency may have reasonable grounds to enter personal desks and files or review taped conversations, and these circumstances should be declared to prevent claims of expectation of privacy. This standard should relate to subsection 6.8, which concerns computer-related communications. Additionally, articulating reasons and rules ahead of time reduces the perception that employees are treated unfairly and reduces possibilities for misuse. **(O O O)**

- **1.2.3** A written directive specifies an agency administrative reporting program, to include:
 - a. a listing of all administrative reports;
 - b. a statement as to the person(s) or position(s) responsible for the formulation of the report(s):
 - c. a statement of the purpose of the report(s);
 - d. a statement of the frequency of the report(s); and
 - e. a statement of the distribution of the report(s).

Commentary: Examples of administrative reports include daily reports, monthly reports, annual reports, etc. These reports are designed to provide information within the agency on a day-to-day operational basis as well as provide a mechanism to report agency activities outside the immediate structure of the agency. **(O O O)**

1.2.4 The agency has a written directive to ensure accountability for agency forms that includes procedures for development, modification, approval, and review.

Commentary: The intent of this standard is to ensure accountability of all forms used by the agency. This standard does not apply to forms supplied by other agencies, e.g., police department, fire department, emergency medical services department, for departmental use or to forms controlled by another level of government, e.g., city, county, special district, or state. The responsibility for the forms development and control should be vested in an identifiable person or

function. The procedures should ensure that the information captured on agency forms is not duplicated; that the review for new or modified forms includes the functions that should use the forms; that the format is consistent with the records maintenance or data-processing requirements of the agency; and that the chief executive officer, or designee, should be required to approve forms prior to use. (O O O)

1.2.5 A written directive requires the formulation and annual updating of written goals and objectives for the agency and for each organizational component within the agency. Established goals and objectives are made available to all affected personnel.

Commentary: None. (M M M)

1.2.6 The agency has a system for evaluating the progress made toward the attainment of goals and objectives.

Commentary: None. (O O O)

1.2.7 A written directive describes the activities of the planning and research function and specifies how they should be organized or assigned.

Commentary: None. (N/A O M)

- **1.2.8** Operational and organizational placement of the planning and research function ensures the following:
 - a. access to necessary information resources; and
 - b. accessibility to the agency's chief executive officer.

Commentary: The planning and research effort should be related as directly as possible to the agency's chief executive officer. Such proximity enhances the planner's ability to collect data and make programmatic recommendations. **(N/A O M)**

1.2.9 If analytical reports are used, a written directive requires that they are distributed to the affected organizational units.

Commentary: None. (M M M)

- **1.2.10** The agency has a current multiyear plan, which includes the following:
 - a. long-term goals and operational objectives:
 - b. anticipated workload and population trends;
 - c. anticipated personnel levels;
 - d. anticipated capital improvements and equipment needs; and
 - e. provisions for review and revision as needed.

Commentary: The planning process and its end product are essential to effective agency management. The agency should have a clear written articulation of goals and objectives and a plan for achieving them. The plan should cover successive years beyond the current budget year and should contain provisions for frequent updating. **(N/A O M)**

1.2.11 The agency has a system for ensuring that periodic reports, reviews, and other activities mandated by applicable accreditation standards are accomplished.

Commentary: The agency establishes some type of system to verify and maintain continuing compliance with CALEA standards and agency policies. Often, a monthly list of periodic assignments, reports, reviews, inspections, or analysis that are due is established. This helps the agency equalize administrative workloads, organize reporting and other requirements to enhance organizational goals, and ensure that they are completed. The agency also should be able to identify and correct instances where requirements were not met. (M M M)

- **1.3.1** The agency has a position management system, which provides the following information:
 - a. the number and type of each position authorized in the agency's budget;
 - b. location of each authorized position within the agency's organizational structure; and
 - c. position status information, whether filled or vacant, for each authorized position in the agency.

Commentary: The intent of this standard is to establish controls on the number, type, and location of all authorized positions in the agency and to determine whether each position is filled or vacant. Accurate information on position status should ensure that persons on the payroll are legally employed and that positions are filled in accordance with budget authorizations. Accurate accounting of positions should also facilitate recruitment, selection, and training schedules; allow for accurate decisions in filling vacant positions through transfers and promotions; enhance career development; and reduce grievances. **(N/A O O)**

1.3.2 The agency allocates personnel to, and distributes them within, all organizational components in accordance with documented periodic workload assessments.

Commentary: The intent of the standard is to encourage the equalization of individual workloads among and within organizational components. The analysis should specify all incidents and factors used in making each workload assessment and indicate any time and location factors necessary to complete a task.

Basing the allocation of personnel on workload demands can have a significant influence on the efficiency and effectiveness of the agency. The agency should attempt to prevent over or understaffing by ensuring that the personnel strength of an organizational component is consistent with the workload. The nature or number of tasks as well as their complexity, location, and time required for completion are some of the factors influencing workload demands. The process of allocating personnel to each organizational component also permits the agency to determine the overall number of personnel required to meet its needs and fulfill its objectives.

The workload assessment system should be documented and include an outline of the calculations required, plus any source documents, personnel, and/or equipment necessary to accomplish the task. There is no single assessment system that is suited for every agency's needs. Using reliable data and reasonable calculations, the agency should reach valid conclusions about workload within each component of the agency. Periodic assessments of all components of the agency should help support increased agency performance and service delivery with available resources. The assessments may also help identify unusual workload demands that can be addressed through new management strategies. **(NA O O)**

- **1.3.3** A written directive requires an annual review of each specialized assignment for the purpose of determining whether it should be continued. This review shall include:
 - a. a listing of the agency's specialized assignments;
 - b. a statement of purpose for each listed assignment; and
 - c. the evaluation of the initial problem or condition that required the implementation of the specialized assignment.

Commentary: Decisions regarding the continuation of specialized assignments are important to the agency. The agency is given wide latitude in identifying specialized assignments (See glossary), but should consider standard 1.3.4 and determine which assignments might be better served with agencywide competition and selection criteria. The development of an annual formalized review of all specialized assignments should help avoid overspecialization and ensure the continued effective operation of agency specialization. **(O O O)**

1.3.4 The agency announces anticipated openings for specialized assignments agencywide and fills those positions through a selection process.

Commentary: Advertising agencywide for specialized assignment openings provides a large base of candidates and gives employees a greater choice of career opportunities. It also minimizes the feeling that selection is based on favoritism.

The agencywide announcement should describe the selection criteria for the position(s) to be filled. The criteria should be based on the skills, knowledge, and abilities required for the specialized assignment, including formal education, experience, any specialized skills, and length of experience required.

The agency should fill vacant specialized positions through a selection process. The process may be informal but should consider all responses to the announcement and follow the criteria established. (O O O)

- **1.3.5** If the agency allows temporary or rotating assignment of personnel, a written directive describes the agency procedure, to include:
 - a. identification of the positions which are available for temporary or rotational assignment;
 - b. the duration of assignments;
 - c. the criteria for selection of personnel; and
 - d. description of the selection procedures.

Commentary: Through temporary assignments and job rotation, the employee may be afforded an opportunity for individual growth as well as improved job satisfaction and performance. As employees acquire additional skills, knowledge, and abilities, the agency benefits from an expanded pool of employees prepared to assume the responsibilities for a number of positions. **(O O O)**

- **1.4.1** A written directive requires all complaints against the agency or its employees be investigated, and specifies:
 - a. the type of complaints to be investigated by line supervisors;
 - b. the type of complaints that require investigation by the internal affairs function; and

c. the type of complaints to be reviewed by the internal affairs function.

Commentary: The intent of this standard is to provide guidelines regarding which categories of complaints are to be handled by the internal affairs function and which as part of routine discipline. The criteria for determining the categories of complaints to be referred to the internal affairs function may include allegations of corruption, breach of civil rights, and criminal misconduct. The CEO may use personnel from an outside agency to perform some or all investigations of criminal misconduct. Criteria for assignment of the investigation of the complaint to line supervisors may include, for example, alleged rudeness on the part of the telecommunicator, tardiness, or insubordination. (M M M)

1.4.2 A written directive specifies that the position responsible for the internal affairs function has the authority to report directly to the agency's chief executive officer.

Commentary: The sensitivity and impact of internal affairs matters on the direction and control of an agency require that the agency's chief executive officer receive all pertinent information directly. **(M M M)**

1.4.3 A written directive specifies the procedures for notifying the agency's chief executive officer of complaints against the agency or its employees.

Commentary: The directive should specify the nature of those complaints that should be brought immediately to the attention of the agency's chief executive officer and those that can be postponed to a later time. **(O O O)**

1.4.4 A written directive specifies a time limit for completing an internal affairs investigation, with provisions for extensions.

Commentary: None. (M M M)

- **1.4.5** The agency keeps the complainant informed concerning the status of a complaint, to include at minimum:
 - a. verification of receipt that the complaint has been received for processing;
 - b. periodic status reports; and
 - c. notification of the results of the investigation upon conclusion.

Commentary: The verification, usually in the form of a receipt or letter, furnished to persons initiating complaints alleging misconduct on the part of the agency or an agency employee may contain a description of the investigative process. The status of investigations should be communicated to the complainant, although the degree of specificity of the notice is left to the discretion of the agency. This standard does not apply to anonymous complaints. **(O O O)**

1.4.6 When an employee is notified that he or she has become the subject of an internal affairs investigation, the agency issues the employee a written statement of the allegations and the employee's rights and responsibilities relative to the investigation.

Commentary: None. (M M M)

1.4.7 A written directive specifies the conditions, if any, during an internal affairs investigation, when:

- a. medical or laboratory examinations are administered;
- b. photographs or fingerprints are taken of employees;
- c. an employee may be required to submit financial disclosure statements; and
- d. instruments for the detection of deception are used.

Commentary: The written directive should be based on the legal requirements in the jurisdiction, case law, and precedent and should be consistent with other administrative decisions. An employee may be required to submit to a medical or laboratory examination, at the agency's expense, when the examination is specifically directed and narrowly related to a particular internal affairs investigation being conducted by the agency. An example is the use of this process in determining drug use by employees. An employee may also be required to be photographed, to participate in a lineup, and/or submit a financial disclosure statement when the actions are material to a particular internal affairs investigation being conducted by the agency. **(M M M)**

1.4.8 A written directive specifies the circumstances in which an employee may be relieved from duty.

Commentary: The written directive should be supported by other documents establishing the powers and authority of the office of the chief executive. The relief from duty may be a temporary administrative action pertaining to an employee's physical or psychological fitness for duty or an action pending disposition of an internal affairs investigation. The authority to relieve a telecommunicator from duty should extend to supervisory levels. **(O O O)**

1.4.9 A written directive requires a conclusion of fact for each investigation into allegation of misconduct.

Commentary: The conclusion of the disciplinary process should be structured and should provide information to all participants in the process. The agency needs to be aware of changes in policies, procedures, rules, and regulations that may prevent future allegations of misconduct, as well as the need to modify or expand training.

Refer for guidance purposes to the Police Executive Research Forum Model Policy Statement "Police Agency Handling of Citizen Complaints" (September 1981); the International Association of Chiefs of Police, Inc., National Law Enforcement Policy Center Concepts and Issues Paper, "Complaint Review Model Policy" (January 1990); and "Law Enforcement Administrative Investigations" by Lou Reiter (1993). (O O O)

1.4.10 A written directive requires the agency to maintain a record of all complaints against the agency or employees and to protect the confidentiality of these records by maintaining them in a secure area.

Commentary: The confidentiality of internal affairs records is important, and proper security precautions should be taken. This records activity is a task of the internal affairs function and is an exception to the personnel records or centralized records systems. (**M M M)**

1.4.11 The agency compiles annual statistical summaries, based upon records of internal affairs investigations, which are made available to the public and agency employees.

Commentary: None. (O O O)

1.4.12 The agency makes available information to the public on procedures to be followed in registering complaints against the agency or its employees.

Commentary: Procedures for registering complaints should be made available to the community through the media or the agency's public education programs. This information should also be disseminated to all agency employees. (M M M)

Chapter 2 - Direction and Authority

2.1.1 A written statement issued by a unit of government, a law or ordinance, or a combination thereof designates the authority and responsibility of the chief executive officer.

Commentary: None. (M M M)

- **2.1.2** A written directive establishes the command protocol for the following situations, at a minimum:
 - a. in the absence of the chief executive officer:
 - b. in exceptional situations;
 - c. in situations involving personnel of different functions engaged in a single operation; and
 - d. in normal day-to-day agency operations.

Commentary: A system of succession should be established to ensure that leadership is available when the agency's chief executive officer is incapacitated, off duty, out of town, or otherwise unable to command. For anticipated absences for extended periods, the CEO should designate, in writing, an acting authority. Command also may be predetermined for certain emergency or unusual occurrences (see subsection 6.10) and for specific operational activities. Command protocol should clarify authority, alleviate confusion, and ensure uninterrupted leadership. **M M M)**

2.1.3 A written directive requires employees to obey any lawful order of a superior, including any order relayed from a superior by an employee of the same or lesser rank. The directive must also include procedures to be followed by an employee who receives a conflicting or unlawful order.

Commentary: None. (M M M)

2.1.4 A written directive establishes procedures for communication, coordination, and cooperation among all agency functions.

Commentary: All functions should encourage and support the exchange of information with specialized and support components for the purpose of coordinating activities. There are a number of ways to communicate information, such as attendance at staff meetings, e-mail, voice mail, other electronic systems, and exchange of daily bulletins. **(O O O)**

- **2.1.5** The agency has a written directive system that includes, at a minimum, the following:
 - a. agency values and mission statement;

- b. a policy statement that vests in the agency's chief executive officer the authority to issue, modify, or approve agency written directives;
- c. identification of the persons or positions, other than the agency's chief executive officer, authorized to issue written directives;
- d. a description of the written directives system format;
- e. procedures for indexing, purging, updating, and revising directives;
- f. statements of agency policy;
- g. rules and regulations;
- h. procedures for carrying out agency activities; and
- i. procedures for review of proposed policies, procedures, rules, and regulations prior to their promulgation.

Commentary: The agency should establish a formal written directive system to provide employees with a clear understanding of the constraints and expectations relating to the performance of their duties. The written directive system should permit rapid access to individual policies, procedures, and rules and regulations and should differentiate types of directives, e.g., general order, special order, personnel order. **(M M M)**

- **2.1.6** A written directive establishes procedures for the dissemination and storage of agency written directives and addresses, at a minimum, the following:
 - a. dissemination of existing, new, or newly revised directives to all affected personnel whether (1) in hard-copy form or (2) through a computerized documentation system, backed up by hard copies of the directives in sufficient number to place at specified accessible locations for reference by all personnel affected by the directives;
 - b. storage of written directives whether (1) by their incorporation into manuals or (2) by their storage in a computerized documentation system and placement of hard copies in manuals put at specified accessible locations for reference by all personnel affected by the directives; and
 - c. acknowledgment indicating receipt and review of disseminated directives by affected personnel, whether in written form or in some other way that is at least equally effective.

Commentary: Regarding the option of disseminating written directives in hard-copy form (for example, typewriter, photocopies, or printed directives), the agency may either distribute the directives to each person affected by them or place the directives at specified locations if timely access to the directives for reference by affected personnel can be assured. Regarding the computerized dissemination system, back-up hard copies are placed at specified accessible locations so that personnel can refer to directives in a timely manner when, for example, the computerized documentation system is not operating or otherwise inaccessible.

Bullet (c) requires that, within a reasonable period after issuance, employee receipt and review be documented. In the context of a computerized documentation system, receipt means that an issued directive has been electronically accessed, or printed out, by the intended recipient. The task of assuring that recipients correctly understand written directives is, in part, a function of training, such as noted in standards 5.2.5 and 5.3.3. (M M M)

2.2.1 The agency develops organizational values and then implements and maintains efforts to achieve and maintain these values.

Commentary: Values set the tone for service and quality and provide employees and managers with job performance guidelines. Value statements should be carefully thought out with input from all persons affected. (M M M)

2.2.2 A written directive requires all personnel to read and sign a copy of the organization's Code of Ethics or Values.

Commentary: None. (M M M)

2.2.3 A written directive requires all personnel to abide by a code or canon of ethics adopted by the agency.

Commentary: The Telecommunicators Code of Ethics published by the Association of Public-Safety Communications Officials-International (APCO) or an agency's adopted Code of Ethics will satisfy the intent of this standard. **(M M M)**

2.2.4 A written directive defines the legally mandated authority and responsibilities and agency-vested authority in all categories of agency personnel.

Commentary: The written directive should define and elaborate on the scope and limits of authority held by the employees as it pertains to the service area. (M M M)

2.2.5 A written report is submitted whenever an employee is involved with an incident where there may be question as to agency liability.

Commentary: An agency should carefully examine all incidents wherein its employees have allegedly performed in any manner that created an increased likeliness of death or injury to persons or significant loss of property. The intent of this standard is to ensure that each event is properly documented and proper action taken. Written procedures should state who was involved, what occurred, who was notified and when, and what has occurred since. **(M M M)**

2.2.6 The agency has a procedure for reviewing the report required by standard 2.2.5. The review will address and document policy, training, and discipline issues.

Commentary: None. (M M M)

2.2.7 The agency conducts an annual documented analysis of those reports required by standard 2.2.5.

Commentary: A review of incidents may reveal patterns or trends that could indicate training needs, equipment upgrades, and/or policy modifications. (M M M)

2.2.8 A written directive may require the removal from dispatch and call-taking duties any employee who was involved in a traumatic/critical incident, i.e., officer-involved shooting or traumatic medical call.

Commentary: The purpose of this standard is to assure a consistent means of assisting personnel in dealing with critical situations and the stress that follows and to minimize the accumulative effects of Critical Incident Stress (CIS). This removal may be a break from duty during the shift or administrative leave. During the period of administrative leave, the agency should consider provisions for post-incident debriefing or counseling for those employees involved, as needed. In some critical incidents, the employee's family may require assistance also. **(M M M)**

2.3.1 A written directive delineates the specific geographical boundaries of the agency's jurisdiction.

Commentary: It is fundamental that the agency clearly describes, in writing, the geographical boundaries of its jurisdiction. Situations involving overlapping or ambiguous territorial jurisdiction should be avoided. A detailed official map, including the boundaries of the jurisdiction, may satisfy the requirements of this standard. **(M M M)**

2.3.2 A written directive specifies the agency's responsibilities in any interagency agreement regarding concurrent jurisdiction.

Commentary: The intent of the standard is to encourage an agency to identify its responsibilities with regard to concurrent jurisdiction, which are established as a matter of law or on the basis of interagency agreement. This standard does not require an interagency agreement where none exists. The written directive should clearly outline the source of the concurrent jurisdiction, i.e., cites the specific legal basis or relevant interagency agreement, and should outline such details as identification of which agency responds to a call for service by type, communication linkages between agencies to ensure prompt and appropriate response, provision of back-up support between jurisdictions, and reporting responsibilities. **(M M M)**

- **2.3.3** A written agreement exists governing public safety communications services provided by the agency and includes:
 - a. a statement of the specific services to be provided;
 - b. specific language dealing with financial agreements between the parties;
 - c. specification of the records to be maintained concerning the performance of services by the provider agency;
 - d. language dealing with the duration, modification, and termination of the contract:
 - e. specific language dealing with legal contingencies;
 - f. stipulation that the provider agency maintains control over its personnel;
 - g. specific arrangements for the use of equipment and facilities; and
 - h. a procedure for review and revision, if needed, of the agreement.

Commentary: The elements of contract public safety communications services should be identified in a written agreement. At a minimum, the subjects listed in the bullets of this standard should be addressed. Additional clauses may clarify other identified needs or agreements. **(M M M)**

2.3.4 A written directive stipulates that employment rights of personnel assigned under a contract for public safety communications services are not abridged by the provider agency.

Commentary: Participation in a contracted public safety communications service arrangement should not penalize participating employees nor should it in any way threaten their employment rights, promotional opportunities, training opportunities, or fringe benefits. **(M M M)**

2.4.1 The agency's chief executive officer is designated as having the authority and responsibility for the fiscal management of the agency, either through a written statement issued by the government, or by a law or ordinance, or by a combination of the two.

Commentary: Although fiscal management functions may be delegated to a designated function or component, the agency's chief executive officer should have the ultimate authority and accountability over all fiscal matters of the agency. **(O O O)**

2.4.2 A written directive describes the agency's budget process and assigns the responsibility for final budget preparation and management to the fiscal management function.

Commentary: The agency may determine its own method of budgeting. This standard is intended to document that procedure for uniformity and clarity. Deadlines for scheduled activities, types and use of forms, and instructions for preparing and managing the budget should be described.

If the agency uses procedures established by another unit of its government, those procedures may be used to comply with this standard. (O O O)

2.4.3 Major functions within the agency annually prepare written budget recommendations.

Commentary: Managers should be held accountable for those portions of the agency's budget that relate to their functions. For purposes of this standard, a "major function" is a bureau, division, department, or other component depicted on the organizational chart as the first or second level below the agency's CEO, or the CEO may designate the organizational levels or functions for participation. **(N/A O O)**

- **2.4.4** A written directive governs procedures for the requisition and purchase of agency equipment and supplies to include, at a minimum:
 - a. specifications for items requiring standardized purchases;
 - b. bidding procedures;
 - c. criteria for the selection of vendors and bidders:
 - d. procedures for the emergency purchasing or rental agreements for equipment; and
 - e. procedures for requesting supplemental or emergency appropriation and fund transfer.

Commentary: The intent of the standard is to establish formal procedures for controlling the requisitioning and purchasing of agency supplies and equipment. The standard may be satisfied through evidence of the use of a purchasing procedure in general use by the government, provided the conditions included in the standard are met. **(M M M)**

- **2.4.5** The agency has an accounting system that includes approval of each account and, at a minimum, provisions for monthly status reports showing:
 - a. initial appropriation for each account (or program);
 - b. balances at the commencement of the monthly period;
 - c. expenditures and encumbrances made during the period; and
 - d. unencumbered balance.

Commentary: This standard applies to all functions and components in the agency. The CEO should authorize all accounts or funds within the agency. The accounting system should be compatible with, or may be a part of, the central accounting system of the governing jurisdiction. It is essential that the agency establish such a system to ensure an orderly, accurate, and complete documentation of the flow of funds. Each appropriation and expenditure should be classified, at a

minimum, according to function, organizational component, activity, object, and program. Dataprocessing systems can facilitate rapid retrieval of information on the status of appropriations and expenditures any time the information is required.

It is intended that each function retain its autonomy over operation of its account or fund but that there are uniform guidelines for management and oversight of each. (M M M)

- **2.4.6** A written directive governs the maintenance of all cash funds or accounts where agency personnel are permitted to receive, maintain, or disburse cash and includes, at a minimum:
 - a. a balance sheet, ledger, or other system that identifies initial balance, credits (cash income received), debits (cash disbursed), and the balance on hand;
 - b. receipts or documentation for cash received;
 - c. authorization for cash disbursement, including CEO authorization for expenses in excess of a given amount;
 - d. records, documentation, or invoice requirements for cash expenditures;
 - e. persons or positions authorized to disburse or accept cash; and
 - f. quarterly accounting of agency cash activities.

Commentary: These procedures are inclusive of petty cash funds, cash received in records, and all other instances where cash funds are maintained or cash is received or disbursed. (M M M)

2.4.7 A written directive governs procedures for an independent audit of the agency's fiscal activities.

Commentary: As a basis for determining the financial integrity of the agency's fiscal control procedures, an independent audit should be conducted at least annually or at a time stipulated by applicable statute or regulation. (M M M)

2.4.8 If the inventory and control of agency property is regulated by an outside authority, the agency must meet those guidelines. In the absence of external controlling directives, the agency has a written directive that establishes internal procedures for inventory and control of agency property and equipment.

Commentary: This function may be guided by directives or statutes promulgated outside of the agency. If these guidelines do not exist, the agency should adopt procedures that ensure adequate property control. An inventory means each item is physically accounted for, including additions and deletions. Missing items are reported, and it is affirmed that inventory is accurate before the inventory is dated and signed. **(M M M)**

2.4.9 A written directive establishes procedures for issuing/reissuing agency-owned property to authorized users.

Commentary: None. (O O O)

2.4.10 A written directive designates that maintaining stored agency property in a state of operational readiness is a responsibility of the person or unit to which the property is assigned.

Commentary: The property management function is responsible for ensuring that stored items of the agency's equipment—such as radios are maintained in a state of operational readiness. The term "operational readiness" includes care, cleaning, preventive maintenance, repair,

workability, and responsiveness. The operational readiness of equipment should be inspected at regular intervals. (M M M)

2.4.11 A written directive requires that only communications equipment authorized by the agency be used by agency personnel.

Commentary: The intent of this standard is to establish strict agency control over headsets, microphones, keyboards, mice, and earpieces (molded or otherwise) that would be used by the telecommunicators during the course of their official duties. **(O O O)**

- **2.5.1** A written directive establishes a performance measurement program, to include:
 - a. identification of key personnel responsible for overseeing the performance measurement process, including data collection, processing, data cleaning, and reporting;
 - training of designated performance measurement personnel and other staff to promote understanding of general performance measurement concepts and implementation of specific performance measurement techniques;
 - c. identification of activities and outcomes to be measured:
 - d. a performance measurement methodology which addresses specific techniques for data collection, processing, data cleaning, and reporting; and
 - e. opportunities for feedback about performance measurement data and service delivery from internal staff and outside entities.

Commentary: Performance measurement should provide timely, accurate, and useful information about the quality and efficiency of service delivery. Carefully conducted, performance measurement is a management tool that can help to identify progress toward goals and objectives and may also identify ways in which to improve service delivery by pinpointing opportunities for improvement.

Departments seeking assistance in establishing a performance measurement program may contact the International City/County Management Association's Center for Performance Measurement, 777 North Capitol Street, NE, Washington, DC 20002. (O O M)

- **2.6.1** The community involvement function provides the following at a minimum:
 - a. informing all personnel that they are responsible for achieving the agency's community involvement objectives;
 - b. developing community involvement policies for the agency;
 - c. publicizing agency objectives, problems, and successes;
 - d. conveying information transmitted from citizens' organizations to the agency;
 - e. improving agency practices bearing on public safety communicationscommunity interaction; and
 - f. identifying training needs through interviews with citizen representatives, consultations with those involved in internal investigations, and conferences with supervisors.

Commentary: The intent of this standard is to establish agency accountability for the community involvement function in writing. The function should be developed and operated to meet effectively the needs of the agency, as well as the community it serves. Placement of the function within the organizational structure is also addressed by standard 1.1.1. Proving compliance with this standard may be accomplished through a series of documents or a single, all-inclusive directive.

Because the conduct of each employee reflects on the agency as a whole, the burden of achieving the agency's community involvement objectives should be shared. A unified, coordinated effort should require the participation and skills of all agency personnel. (O O O)

2.6.2 The agency establishes and maintains liaison with formal community organizations and other community groups.

Commentary: Public safety communications agencies should establish direct contacts with the community served. Without grassroots community support, successful public safety communications functions become more difficult. A well-organized community relations function can be an effective means of eliciting public support, can serve to identify problems in the making, and may foster cooperative efforts in resolving community issues. Input from the community can also help ensure that agency policies accurately reflect the needs of the community. **(O O O)**

- **2.6.3** At least annually, the person or persons responsible for the community involvement function prepares and submits to the chief executive officer a report that includes, at a minimum, the following elements:
 - a. a description of potential problems that have a bearing on public safety communications activities within the community;
 - b. a statement of recommended actions that address previously identified concerns and problems; and
 - c. a statement of progress made toward addressing previously identified concerns and problems.

Commentary: These concerns and problems should, at a minimum, be communicated to the chief executive officer, both to provide information on conditions in the community and to allow the chief executive officer to react in a timely manner to alleviate concerns and avert problems. Ideally, these reports should also be disseminated to other concerned management-level personnel. **(O O O)**

2.6.4 An agency directive establishes procedures for transmitting relevant information received by any agency member to the person responsible for preparing the report found in standard 2.6.3.

Commentary: The purpose of the standard is to ensure that there is evaluation in the community involvement actions of the agency. Compliance with the standard reduces the likelihood of misinterpretation by the person preparing the annual report and ensures that information being gathered by line personnel is incorporated into the agency's decision-making processes. **(N/A O O)**

- **2.6.5** A survey of citizen attitudes and opinions is conducted at a minimum of every three years with respect to:
 - a. overall agency performance;
 - b. overall competence of agency employees;
 - c. telecommunicator's attitudes and behavior toward citizens;
 - d. determining community concerns; and
 - e. recommendations and suggestions for improvements.

Commentary: The survey may be conducted by mail, in person, or by telephone and may be combined with questions relating to other issues. The results of the survey may be provided to

the community. The survey may be carried out directly by agency personnel or by others with agency guidance. (O O O)

- **2.6.6** The public education function shall include, at a minimum:
 - a. assisting news personnel in covering news stories that may involve the public safety communications agency;
 - b. being available for on-call responses to the news media;
 - c. preparing and distributing agency news releases;
 - d. arranging for and assisting at news conferences;
 - e. coordinating and authorizing the release of information about victims, witnesses, and suspects;
 - f. assisting in crisis situations within the agency:
 - g. coordinating and authorizing the release of information concerning confidential agency investigations and operations; and
 - h. developing procedures for releasing information when other public service agencies are involved in a mutual effort.

Commentary: Proving compliance with this standard may be accomplished through a series of documents or a single, all-inclusive directive. The directive should also identify those within the agency authorized to make releases when the CEO/PEO is not available. All information released should be reported to the CEO/PEO as soon as practical.

Another intent of the standard is to provide specific guidance to personnel regarding the release of information about the prior criminal record, character, or reputation of the accused; the identity, testimony, or credibility of any prospective witness; any opinion of agency personnel regarding the guilt or innocence of the accused; any opinion of agency personnel regarding the merits of the case or quality of evidence gathered; personal information identifying the victim; information identifying juveniles; and information received from law enforcement or fire/EMS agencies without their concurrence in releasing that information. Where more than one agency is involved, the agency having primary jurisdiction should be responsible for releasing, coordinating, or approving the release of information. (O O O)

2.6.7 The agency involves the news media and discusses changes in policies and procedures relating to the public education function.

Commentary: By allowing media representatives to participate in the process of developing policies and procedures relating to the public education function, agencies can receive input that should lead to more effective working relationships between agency and media personnel. **(O O O)**

Chapter 3 - Human Resources

- **3.1.1** A written task analysis of every class of employee in the agency is conducted, maintained on file, and includes, at a minimum:
 - a. the work behaviors (duties, responsibilities, functions, tasks, etc.);
 - b. the frequency with which the work behavior occurs; and
 - c. the criticality of the job-related skills, knowledge, and abilities.

Commentary: Analyses should be required for all classes in the agency. Hiring, promotion, training, and job performance evaluation criteria should be established by task analysis that is agency specific.

Pertinent information about work behaviors may be obtained through observation, individual or group interviews, content analysis of work products, and questionnaires. After the work behaviors have been defined—either in terms of duties, tasks, functions, or other grouping scheme—a similar process should be employed to define the skills, knowledge, and abilities required of the employee in performing the important work behaviors.

The task analysis should produce information about the class that is specific, objective, comprehensive, and, most importantly, verifiable by independent review. The results of the study should be incorporated in job descriptions prepared by the agency.

Analyses should be guided by personnel, either inside or outside the agency, who possess training and/or experience in evaluating jobs. Incumbents and their first- and second-level supervisors should be viewed as significant sources of information concerning the classes under study.

The analyses should be updated periodically or when significant changes in responsibilities or duties in the job classes occur, whether through attrition, modification, or deletion of duties. and responsibilities, i.e., they may be done in conjunction with changes in departmental functions, staff inspection, or changes in organizational strategies. (O O O)

- **3.1.2** The agency has a written classification plan that includes:
 - a. categorization of every job by class on the basis of similarities in duties, responsibilities, and qualification requirements;
 - b. class specifications for every job within a class;
 - c. provisions for relating compensation to classes; and
 - d. provisions for reclassification.

Commentary: Classification involves describing the different kinds of work performed in an agency and consolidating similar jobs into classes based upon similarity of duties and responsibilities. The classification plan should specify the class titles and general duties, responsibilities, and qualifications for each position in the agency, such as telecommunicator, supervisor, manager, and director. The establishment of a structured classification plan with general requirements for each class should allow agencies to achieve more efficient administration, compensation, and equitable treatment of personnel. **(O O O)**

3.1.3 If the agency has a classification plan, a written directive specifies the role of the agency in the development and maintenance of class specifications.

Commentary: If the agency has sole responsibility for personnel administration, it should assume this role. If another governmental entity has the responsibility, the directive should define the agency's role in the process. (O O O)

3.1.4 The agency maintains current job descriptions covering all employees, and a job description for each job within the agency is available to all personnel.

Commentary: Statements of duties and responsibilities for each job within the agency should be prepared and made available to managers, supervisors, and all other agency employees. Such statements are key elements in achieving more effective management and supervision. **(M M M)**

3.1.4 The agency maintains current job descriptions covering all employees, and a job description for each job within the agency is available to all personnel.

Commentary: Statements of duties and responsibilities for each job within the agency should be prepared and made available to managers, supervisors, and all other agency employees. Such statements are key elements in achieving more effective management and supervision. **(M M M)**

- **3.2.2** A written directive describes the agency's leave program, to include:
 - a. administrative leave;
 - b. holiday leave;
 - c. sick leave;
 - d. family medical leave; and
 - e. vacation (annual) leave.

Commentary: The circumstances and conditions under which administrative leave would be afforded an employee should be described. Limitations on the use of such leave and the procedures for application and approval should be included. Administrative leave may cover such matters as jury duty, periods of bereavement, sabbatical and temporary leaves of absence to include military duty and training.

Days established as holidays should be identified.

Policies regarding sick and vacation (annual) leave should be described, including accrual rates, limitation rates, if any, procedures for scheduling, supervision, and control. The agency should also be prepared to administer provisions of the Family Medical Leave Act. (M M M)

3.2.3 A written directive describes the agency's retirement program.

Commentary: The agency's retirement program may be provided by a local jurisdiction, the state, or the federal Social Security Act. The program may indicate a minimum age requirement and a mandatory age for retirement. The directive should note the extent to which each benefit is available to the various classes of personnel employed by the agency (full-time, part-time as appropriate). **(M M M)**

3.2.4 A written directive describes the agency's health insurance program.

Commentary: None. (M M M)

3.2.5 A written directive describes the agency's disability and death benefits program.

Commentary: The agency should, through insurance programs or direct financial support, provide compensation for temporary, partial, or total work-related disability. **(M M M)**

3.2.6 A written directive describes the agency's program for the provision of support services to employees.

Commentary: Agencies, particularly larger agencies, may wish to consider establishing a separate employee services unit to facilitate the provision of support services to employees. Such services might include providing information on employee benefits and help for the employee and family in cases of injury or death. The services available should be described in writing to ensure that employees will know what services are available and that services are provided uniformly. **(O O O)**

3.2.7 A written directive describes the agency's liability protection program.

Commentary: Specific provisions of the program should cover employees for actions or omissions directly related to their public safety communications function. The program should protect employees from liability arising from acts or omissions leading to personal injury, death, or property destruction that, in turn, could lead to legal civil action against them. **(M M M)**

3.2.8 A written directive describes employee educational benefits, if any.

Commentary: When offered, educational benefits go beyond those opportunities provided employees through in-service, specialized, and advanced training. Generally, the employees pursue higher education on their own initiative and on their own time. Because the value of employees to the organization is enhanced by their continuing education, the agency should encourage and facilitate their pursuit of higher education and provide whatever tangible benefits it can to them for academic achievement. Educational benefits may include leave, scheduling adjustments and accommodation, tuition reimbursement, and salary augmentation based on educational achievement. **(O O O)**

3.2.9 A written directive describes the agency policy regarding physical examinations or annual hearing or vision tests for employees. Any examination required of employees in permanent, full-time jobs must be provided at no cost to the employee.

Commentary: An annual hearing, vision, or medical examination is a benefit to both the employee and the agency. Acceptable hearing is critical to telecommunicators who have to receive quickly and accurate information from radios and telephones, often under stressful situations with assorted background noises, distractions, and fluctuating volume levels. Adequate vision and color perception is important, especially with the increasing use of CAD systems that include color identified information. Any examination should be conducted only to confirm the employees' continued fitness to perform the tasks of their assignments and to inform them of their general condition, not to identify employees with disabilities who are otherwise able to perform their assigned duties, with or without reasonable accommodation. **(M M M)**

3.2.10 A written directive governs the types of off-duty employment and conditions in which agency personnel may engage in off-duty employment.

Commentary: This standard applies to all personnel. It pertains to secondary employment of the off-duty type—that is, outside employment. Agencies may want to consider expressing the prohibition of certain types of off-duty employment in general terms, such as proscribing off-duty employment that, in the opinion of the agency, would constitute a conflict of interest or would tend to bring discredit to the agency. Or the prohibition could be specific, focusing on specific jobs or locations. **(O O O)**

- **3.3.1** If there are represented employees in the agency, a written directive describes the role of the agency in the collective bargaining process and includes:
 - a. establishment of a collective bargaining team for the agency with one person designated as the principal negotiator;
 - b. identification of the bargaining unit or units representing an agency's employees with which it will negotiate;
 - c. a commitment by the agency to participate in "good faith" bargaining with the duly recognized bargaining units representing its members;
 - d. a commitment to abide by the ground rules for collective bargaining that arise out of the collective bargaining process or labor arbitration; and

e. a commitment to abide, in both letter and spirit, by the negotiated labor agreement that has been signed by management and labor representatives, and ratified by the bargaining unit.

Commentary: The agency should abide by all legally applicable laws and rules governing the collective bargaining process. The relationship of agency personnel with other members of the bargaining team should be clearly defined. The directive should clearly establish the agency's role when its members comprise the entire bargaining team and when they will be working with individuals from outside the agency. **(M M M)**

- **3.3.2** When a negotiated labor agreement is ratified by all parties, the agency's CEO, or designee, will:
 - a. obtain a written, signed copy of the labor agreement;
 - b. review and amend, if necessary, all written directives and procedures to coincide with the terms of the labor agreement; and
 - c. disseminate information relative to a new labor agreement, including modifications to existing agreements, to managers and supervisors of bargaining unit employees.

Commentary: In order to avoid violating the labor contract, it is essential that all operating directives be amended to agree with language in the labor agreement. Copies of the signed agreement should be made available to those who supervise and manage employees in the bargaining unit to further ensure that labor harmony is maintained. Changes in existing contract language should be disseminated to those same supervisors and managers. **(M M M)**

- **3.4.1** A written directive defines the agency's performance evaluation system and includes, at a minimum:
 - a. measurement definitions;
 - b. procedures for use of forms;
 - c. rater responsibilities; and
 - d. rater training.

Commentary: A central personnel agency may or may not incorporate performance evaluation as part of its overall management activities. Where it does, some features of the evaluation system may not suit the needs of the public safety communications agency. Although policies and procedures may be developed by a centralized agency, it remains the responsibility of the chief executive officer to adapt and amplify those guidelines to meet the agency's needs. **(M M M)**

- **3.4.2** A written directive requires a performance evaluation of each employee be conducted and documented at least annually, to include:
 - a. performance evaluations cover a set period and are specific to the assignment of the employee;
 - b. career counseling relative to such topics as advancement, specialization, or training appropriate for the employees position; and
 - c. explanatory comments when performance ratings are unsatisfactory or outstanding.

Commentary: The purposes of performance evaluation are to standardize the nature of the personnel decision-making process, ensure the public that the agency's personnel are qualified to

carry out their assigned duties, and provide job incumbents with necessary behavior modification information to allow them to maintain behaviors that are appropriate from the agency's standpoint and to eliminate inappropriate behaviors. Evaluation reports may be regular periodic reports or interim reports for varying reasons. The actual dates covered by the evaluation, shown on the face of the report, are required to provide a continuity of the record of performance during a specified period.

Performance of the employee immediately prior to or following the rating period should be excluded from the rating for that period.

Raters should be prepared to substantiate ratings in the lowest or highest categories and give specific reasons for the ratings through a narrative comment. (M M M)

- **3.4.3** A written directive requires that each employee be counseled at the conclusion of the rating period regarding the:
 - a. results of the performance evaluation just completed; and
 - b. level of performance expected, rating criteria, or goals for the new reporting period.

Commentary: The intent of this standard is to ensure that at least once each year, the immediate supervisor of each employee provides feedback regarding employee performance. It is critical that counseling of this type include both a review of performance over the prior rating period and, as a matter of fairness to the employee, an indication of the expectations for the upcoming reporting period. This is also an appropriate time to review the employee's career goals within the agency. However, nothing in this standard should be interpreted as requiring that these items be completed in one single session by the same supervisor. Agencies have flexibility in complying with this standard, and may, for example, conduct career-counseling activities at a separate time by specialists in this area. **(M M M)**

3.4.4 A written directive requires that nonprobationary employees be advised in writing whenever their performance is deemed to be unsatisfactory and that the written notification be given to them at least 90 days prior to the end of the annual rating period.

Commentary: The supervisor should be prepared to substantiate ratings at the unsatisfactory level, to advise the employee of unsatisfactory performance, and to define actions that should be taken to improve his or her performance. If unsatisfactory performance continues, this information should be included in the evaluation report at the end of the 90-day period. Some flexibility concerning the 90-day period is allowable if the spirit of the standard is observed. **(M M M)**

3.4.5 A written directive requires that each performance evaluation report is reviewed and signed by the rater's supervisor.

Commentary: None. (M M M)

3.4.6 A written directive specifies that the employee will be given the opportunity to sign and make written comments to supplement the completed performance evaluation report.

Commentary: Each evaluation report on an employee's performance should be read and understood by the employee. The signature should indicate only that the employee has read the report and should not imply agreement or disagreement with the contents. If the employee refuses to sign, the supervisor should so note and record the reason or reasons, if given. **(M M M)**

3.4.7 A written directive requires that a copy of the completed evaluation report be provided to the employee.

Commentary: None. (M M M)

3.4.8 A written directive requires an appeal process for contested evaluation reports.

Commentary: None. (M M M)

3.4.9 A written directive requires a written performance evaluation report on all entry-level probationary employees at least quarterly.

Commentary: A separate set of criteria is important in the rating of personnel on probation in order to determine, at the earliest point, their suitability for the current position. The principal objective of supervisors rating probationary employees is to ascertain whether they can actually perform the required functions. Performance should be closely monitored, and written evaluations should be a part of this process. **(M M M)**

3.4.10 A written directive requires the retention of performance evaluation reports.

Commentary: The retention schedule should be consistent with applicable legislation or civil service regulations. Where these do not exist, a period of three years is recommended. (M M M)

3.4.11 A written directive requires raters to be evaluated by their supervisors regarding the quality of ratings given employees.

Commentary: Supervisors should evaluate raters regarding the fairness and impartiality of ratings given, their participation in counseling rated employees, and their ability to carry out the rater's role in the performance evaluation system. The supervisor should ensure that the raters apply ratings uniformly. **(O O O)**

- **3.5.1** Unless there is controlling contract language, a written directive establishes a grievance procedure, which includes the following:
 - a. identification of matters that are grievable (scope) and the levels in the agency or government to which the grievance may be filed and/or appealed;
 - b. establishment of time limitations for filing or appealing the grievance to the next level;
 - c. a description of the type of information to be submitted when filing a grievance;
 - d. establishment of procedural steps and time limitations at each level in responding to grievances or appeals; and
 - e. establishment of criteria for employee representation.

Commentary: Since a formal grievance procedure is designed to resolve differences between the employee and employer, it follows logically that such procedures be written in clear, concise terms. If grievance procedures are part of a collective bargaining agreement, such agreement would meet the definition of "written directive" as used in this standard. This standard applies to all agency employees. If more than one procedure exists, each should be described.

A written statement of the grievance and the facts upon which it is based, a written allegation of the specific wrongful act and harm done, and a written statement of the remedy or adjustment sought are basic information that should be required from a grievant. A form may be designed for this purpose to include spaces for noting significant times, dates, and actions taken relative to a grievance.

Once the grievance has been filed, it should be handled formally. Each level should acknowledge receipt by noting time, date, and person receiving the grievance. The facts or allegations should be carefully analyzed and affirmed or denied in writing. A legitimate attempt should be made at each level to resolve the grievance rather than merely passing it on to the next level. If applicable, remedies or adjustments should be identified in writing.

The procedure should have an appeal process for "grievable" issues. To be an appeal, the issue should go to a higher level or authority for review. Grievances normally follow the employee's chain of command within the agency or governmental structure. The procedure should identify the levels of appeal, the time limits within which each level should respond, and the final level of authority. (M M M)

3.5.2 A written directive identifies a position responsible for coordination of grievance procedures and for the maintenance and control of grievance records.

Commentary: The sensitivity of these records dictates additional precautions in controlling access to them. (M M M)

3.5.3 A written directive requires an annual analysis of grievances.

Commentary: The grievance procedure is a valuable method for management to discover agency problems. If through analysis the agency's chief executive officer observes a trend in filed grievances, steps may be taken to minimize the causes of such grievances in the future. The responsibility for analyzing grievances and reporting to the CEO should be assigned to the position required by 3.5.2. The formality of the analysis and reporting may be determined to best suit the agency's need. **(O O O)**

3.6.1 A written directive specifying a code of conduct and appearance guidelines is readily available to agency personnel.

Commentary: This directive should include compliance with agency directives on: unbecoming conduct; use of alcohol and drugs; acceptance of gratuities, bribes, or rewards; abuse of authority; and proper care and maintenance of equipment. Prohibitions should be specific, whereas approved behavior may be stated in general terms, e.g., courtesy, punctuality. Directives about grooming and appearance also should be specific. The code of conduct may be in the form of rules and regulations. **(M M M)**

3.6.2 A written directive establishes procedures and criteria for recognizing and rewarding employees for good performance.

Commentary: The written directive should enhance consistency in recognizing and rewarding employees. Compensation may include additional time off with pay as well as a monetary supplement. Agencies that present awards for meritorious or heroic acts should ensure that criteria are established as prerequisites for these awards. (M M M)

3.6.3 A written directive prohibits sexual and other forms of unlawful harassment in the workplace and provides a means by which harassment can be reported, including a means by which it can be reported if the offending party is in the complainant's chain of command.

Commentary: Harassment of any agency personnel by anyone employed by or contracted by the agency has the effect of unreasonably interfering with an individual's work performance

and/or creating an intimidating, hostile, or offensive work environment. Agencies need to have strong policies and directives that prohibit such conduct; immediate and thorough investigation of any allegation of *unlawful* harassment; effective and appropriate disciplinary action in any case where allegations of *unlawful* harassment can be substantiated; and efforts to make agency employees aware of their responsibilities and the legal issues involved. See glossary for the definition of harassment and sexual harassment. (M M M)

- **3.6.4** A written directive establishes a disciplinary system, to include:
 - a. procedures and criteria for using training as a function of discipline;
 - b. procedures and criteria for using counseling as a function of discipline; and
 - c. procedures and criteria for taking punitive actions in the interest of discipline.

Commentary: The elements of the disciplinary system should identify the measures to be applied to employee conduct in the interest of discipline. The system should be based on fairness to the employee and the agency and should stimulate employee morale and motivation.

The written directive should encourage training as a means of improving employee productivity and effectiveness through positive and constructive methods. (See subsection 5.3.)

The written directive should provide guidelines regarding alternatives to be considered in counseling. In theory and practice, the severity attached to disciplinary counseling increases with the position of the counselor in the hierarchical structure of the agency. The directive should also provide guidance concerning the recording of the purpose and effect of the counseling experience.

Finally, the directive should strive to enhance consistency in punitive actions. The severity of each alternative should be geared to the actions of the employee. This does not imply a required sequence of punitive acts. Some agencies specify a range of punishments for various violations or specific punishments in explicit situations; where these are established, employees should be so informed. (M M M)

3.6.5 A written directive specifies the role of supervisors and the authority attendant to each level of supervision and command relative to disciplinary actions.

Commentary: The role of supervisors, especially first-line supervisors, is crucial in the disciplinary process. First-line supervisors have the best opportunity to observe the conduct and appearance of telecommunicators and detect those instances when disciplinary actions are warranted, e.g., remedial training, counseling, or punishment. First-line supervisors also have the opportunity to understand the personality traits of the personnel under their supervision and to determine the most effective methods of discipline. **(M M M)**

3.6.6 A written directive specifies appeal procedures in disciplinary actions.

Commentary: The directive should include initiation procedures, time frames, method of recording, and scope of the appeal process. To be an appeal, the issue should go to a higher level of authority for review. **(M M M)**

- **3.6.7** If employee misconduct results in dismissal, a written directive requires that the following information be provided to the employee:
 - a. a written statement citing the reason for dismissal;
 - b. the effective date of the dismissal; and
 - c. a statement of the status of fringe and retirement benefits after dismissal.

Commentary: This standard, under normal circumstances, does not apply to entry-level probationary employees. (M M M)

3.6.8 A written directive specifies procedures for maintenance of records of disciplinary actions.

Commentary: The directive should require written records of disciplinary actions and should include where the records should be filed, how long they should be maintained, and under what circumstances they should be purged. (M M M)

Chapter 4 - Recruitment and Selection

4.1.1 The agency actively conducts or participates in its recruitment program.

Commentary: When the authority for recruitment is shared with other agencies, the pubic safety communications agency should seek to involve itself directly or indirectly in all activities critical to the recruitment effort. **(M M M)**

4.1.2 Individuals assigned to recruitment activities are knowledgeable in personnel matters, especially equal employment opportunity as it affects the management and operations of the agency.

Commentary: Prior to initiating recruitment activities, recruiters should undergo a training program that provides knowledge and skills in the following areas: the agency's recruitment needs and commitments; agency career opportunities, salaries, benefits, and training; federal and state compliance guidelines; the community and its needs (including demographic data, community organizations, educational institutions, etc.); cultural awareness, or an understanding of different ethnic groups and subcultures; techniques of informal record-keeping systems for candidate tracking; the selection process utilized by the central personnel operation or agency (including procedures involved in conducting background investigations and written, oral, or physical examinations); recruitment programs of other jurisdictions; characteristics that disqualify candidates; and medical requirements. **(M M M)**

4.1.3 The agency has minority group and female employees in approximate proportion to the makeup of the available work force in the agency's service community or an equal employment opportunity plan.

Commentary: Diversity requires active recruitment of women and minority group members who may be significantly underrepresented in the agency. Recruitment steps should be directed toward a goal of approximating, within the agency, the demographic composition of the community that it serves.

Statistics on the composition of the work force are available from a variety of sources, including the U.S. Department of Labor's Bureau of Labor Statistics. For the purposes of this standard, the agency may also use workforce composition data for a larger metropolitan area in which the jurisdiction is located or demographic census data for the population of the service community.

The equal employment opportunity plan should ensure equal opportunities for employment and employment conditions for minority persons and women. The equal employment opportunity plan should be based on an annual analysis of the agency's present employment policies, practices, and procedures relevant to their effective impact on the employment and utilization of minorities and women. The equal employment opportunity (EEO) plan, which may be produced in the form of a written directive, may contain such provisions as (1) a strongly worded statement from the agency's CEO that it is agency policy to ensure that all individuals should be given equal

opportunity for employment, regardless of race, sex, creed, color, age, religion, national origin, or physical impairment; (2) a procedure for filing complaints relating to EEO; (3) specific action steps that the agency should take to ensure equal employment opportunity is a reality, such as advertising as an equal opportunity employer or providing applications or testing processes at decentralized, easily accessible locations; (4) The plan should also have measurable objectives and a time frame. The policies relating to harassment in the workplace may also be incorporated into the agency's overall EEO effort. (M M M)

- **4.1.4** The agency's job announcements and recruitment notices:
 - a. provide a description of the duties, responsibilities, requisite skills, educational level, and other minimum qualifications or requirements;
 - b. advertise entry-level job vacancies through electronic, print, or other media;
 - c. advertise the agency as an equal opportunity employer on all employment applications and recruitment advertisements; and
 - d. advertise official application filing deadlines.

Commentary: The agency should provide the most accurate and precise job description possible to avoid undue delay and wasted time on the part of the agency and the applicant. When the most important performance dimensions are known, potential applicants are in a better position to relate their particular knowledge, understanding, and skills to those required by the position to be filled. The agency saves the time and expense of making determinations that the applicants could have made, had they been fully apprised.

The agency should ensure that job announcements do not set standards or criteria that even unintentionally screen out, or tend to screen out, an individual with a disability or class of individuals with disabilities unless the criteria are job-related and consistent with business necessity. Job announcements should not set standards that cannot be specifically supported and should avoid general requirements such as "excellent health" or "no history of psychological or emotional disorders." (Refer to Section 102, Americans with Disabilities Act.) (M M M)

4.1.5 The agency posts job announcements with community service organizations and/or seeks cooperative assistance from community organizations and key leaders.

Commentary: The agency should seek permission to post job announcements with community organizations that are in contact with individuals who are likely candidates for recruitment. The agency should seek to achieve broader dissemination and greater exposure of recruitment information. **(O O O)**

4.1.6 The agency maintains contact with applicants from initial application to final employment disposition.

Commentary: Agency recruiters should acknowledge receipt of all employment applications. Applicants should be periodically informed of the status of their applications. Applicant contacts should be documented and logged. **(M M M)**

4.2.1 Written directives describe all elements and activities of the selection process.

Commentary: Such written directives are essential for the proper administration, use, and defensibility of the selection process. The directive should describe the order of events in the selection process and should include, at a minimum, information about the purpose, development, job relatedness, administration, scoring, and interpretation of all elements used in the selection process. The public safety communications agency may rely upon a state or local

civil service commission, employment agency, or other public or private organization to administer or provide one or more elements of the selection process. If so, a copy of all relevant manuals should be maintained on file by the public safety communications agency. Written directives should describe the selection process in detail and include timetables, the order of events, administration, scoring, interpretation of test results, and other pertinent information. (M M M)

4.2.2 All elements of the selection process use only those rating criteria or minimum qualifications that are job related.

Commentary: The intent of this standard is to ensure that candidates are evaluated by a selection process that measures traits or characteristics that are a significant part of the job. It is not sufficient for an agency to merely say in a directive that its procedures are job related.

However, there are a variety of means by which job relatedness can be shown. An agency may choose, for example, to demonstrate that an oral examination measures traits that are shown by the task analysis to be significant or necessary to perform the job. An assessment center may be shown to measure the performance of tasks or skills that the task description has shown to be essential job functions (See Section 3.1 regarding task analysis and job descriptions).

The agency may also demonstrate job relatedness through a process that validates the selection mechanism as a predictor of future job success. A written test may be statistically validated as being able to assess skills necessary for the job of public safety telecommunicator. Many commercially produced tests have documentation that will support validation. Agencies are encouraged to seek assistance in this area from competent personnel resources, as many of the validation concepts are technical and/or unfamiliar to communications professionals.

Nothing in this standard should be interpreted as preventing an agency from using a combination of methods to document the job relatedness of its selection process. The goal of this standard is to ensure that the agency has the documentation necessary to make a logical and persuasive case, in the event of a legal challenge, that the elements of the selection process measure skills, knowledge, abilities, and traits needed to perform that job. (M M M)

4.2.3 A written directive requires that all elements of the selection process be administered, scored, evaluated, and interpreted in a uniform manner.

Commentary: Operational elements of the selection process—time limits, oral instructions, practice problems, answer sheets, and scoring formulas—should be clearly set forth and carried out identically for all candidates. Failure to do so may preclude validation of the process and make the agency susceptible to legal challenges. **(M M M)**

- **4.2.4** At the time of their formal application, candidates are informed, in writing, of:
 - a. all elements of the selection process:
 - b. the expected duration of the selection process; and
 - c. the agency's policy on reapplication.

Commentary: A listing of selection elements should include, but is not limited to, all written physical and psychological examinations, polygraph examinations, oral interviews, and background investigations. From the outset, candidates should be made aware that sensitive or confidential aspects of their personal lives may be explored. Written notification of the expected duration of the selection process not only is a courtesy but also helps the agency better plan and coordinate its selection process. **(M M M)**

4.2.5 Candidates determined to be ineligible for appointment are informed in writing.

Commentary: Prompt notification in writing is not only an essential element of an efficient administrative organization but also is fundamental to a fair and effective selection process. Candidates should be informed within 30 days of such a decision. **(M M M)**

4.2.6 A written directive governs the disposition of the records of candidates determined to be ineligible for appointment.

Commentary: It is necessary to maintain selection data to ensure continuing research, independent evaluation, and defense against lawsuits. The agency should determine requirements, consistent with applicable laws, for maintaining identifying information, such as names and addresses. The agency should comply with all federal, state, and local requirements regarding the privacy, security, and freedom of information of all candidate records and data. **(M M M)**

4.2.7 A written directive requires that selection materials be stored in a secure area when not being used and are disposed of in a manner that prevents disclosure of the information within.

Commentary: The agency responsible for selection materials should limit access to them and store them in locked files to provide 24-hour security. Selection materials should not be left unattended. **(M M M)**

- **4.3.1** A background investigation of each candidate is conducted prior to appointment to probationary status and includes:
 - a. verification of qualifying credentials;
 - b. a review of any criminal record; and
 - c. verification of at least three personal references.

Commentary: It is more reliable to conduct the inquiry in person, although telephone and mail inquiries are appropriate in obtaining criminal history and driving records. The investigation should routinely involve a home visit with the candidate and his or her family and interviews with neighbors. Background investigations are generally listed among the final stages in the selection process only to suggest that this is when they should be completed; they are likely to have commenced much earlier. **(M M M)**

4.3.2 Personnel used to conduct background investigations are trained in collecting required information.

Commentary: All or part of this background investigation may be provided by another agency. **(M M M)**

4.3.3 In the absence of controlling legislation, the agency has a policy regarding the retention of each candidate's background information.

Commentary: None. (M M M)

4.3.4 If polygraph examinations or other instruments for the detection of deception are used in the selection process, candidates are provided with a list of areas from which polygraph questions will be drawn prior to such examination.

Commentary: None. (M M M)

4.3.5 If polygraph examinations or other instruments for the detection of deception are used in the selection process, the administration of examinations and the evaluation of results are conducted by personnel trained in these procedures.

Commentary: The sensitive nature of these tests makes it necessary to rely upon examiners who possess professional training and credentials in the use and interpretation of these investigative tools. **(M M M)**

4.3.6 A written directive prohibits the use of results of polygraph examinations or other instruments for the detection of deception as the single determinant of employment status.

Commentary: Authorities agree that polygraph examinations or other instruments for the detection of deception should be used only as an investigative aid, if at all. An admission during pretest, test, or posttest interviews, together with other information, may be sufficient to support decisions relevant to employment status. **(M M M)**

4.3.7 A medical examination is conducted, prior to appointment to probationary status, to certify the general health of each candidate.

Commentary: None. (O O O)

4.3.8 An emotional stability and psychological fitness examination of each candidate is conducted and assessed by a qualified professional prior to appointment to probationary status.

Commentary: None. (O O O)

4.3.9 In the absence of controlling legislation, the agency has a policy regarding the retention of the results of medical examinations and the emotional stability and psychological fitness examination.

Commentary: The agency should maintain a report of each background investigation, physical examination, emotional stability or psychological fitness examination to ensure proper procedures are followed and to provide data for continuing research and legal defense, if needed. All records should be stored in a secure area. Access should be restricted to those persons legally entitled to review these records. The files or records may be maintained in agency files or at the location of the medical examination provider. **(M M M)**

- **4.3.10** A written directive requires all newly appointed personnel to receive information regarding:
 - a. the agency's role, purpose, goals, policies, and procedures;
 - b. working conditions and regulations; and
 - c. responsibilities and rights of employees.

Commentary: None. (M M M)

4.3.11 In the absence of controlling legislation, at least a six-month probationary period following completion of entry-level classroom training is required before candidates are granted permanent status.

Commentary: The agency should include a probationary period among the final steps in the selection process. A six-month probationary period is generally accepted as a minimum among the public safety communications community and should be carefully related to the communications training program (5.3) and the performance evaluation system (3.4). Exceptions to the probation period, if any, should be described in the directive. Exceptions may include special assignments, injury, or illness occurring during entry-level training and remedial training. **(M M M)**

4.4.1 A written directive defines the agency's role in the promotion process.

Commentary: The public safety communications agency may rely upon a state or local civil service commission or other public or private external organization to administer or provide one or more elements of the process in accordance with legal, professional, and administrative requirements. Where a centralized personnel agency exists, the directive should govern the responsibilities retained by the public safety communications agency for the promotion of personnel. The agency should have a role in the development of the measurement instruments that are used in determining the skills, knowledge, and abilities of employees for positions. **(M M M)**

4.4.1 A written directive defines the agency's role in the promotion process.

Commentary: The public safety communications agency may rely upon a state or local civil service commission or other public or private external organization to administer or provide one or more elements of the process in accordance with legal, professional, and administrative requirements. Where a centralized personnel agency exists, the directive should govern the responsibilities retained by the public safety communications agency for the promotion of personnel. The agency should have a role in the development of the measurement instruments that are used in determining the skills, knowledge, and abilities of employees for positions. **(M M M)**

4.4.2 A written directive vests in an identifiable position the authority and responsibility for administering the agency's role in the promotion process.

Commentary: Although the written directive should identify a position responsible for the administration of the promotion process, a specific person may be designated. The person identified as the administrator of the process should have the authority to manage effectively its operation and direction. If responsibility is shared with or vested in another agency, e.g., a centralized personnel department or a civil service commission, the public safety communications agency should perform appropriate liaison activities to carry out the process. Even when authority is shared, the public safety communications agency should maintain the primary responsibility for certain key activities, such as oral interviews, promotions, and administration of all employees' probationary periods. **(O M M)**

- **4.4.3** A written directive describes the procedures used for each element of the promotion process, including those for:
 - a. evaluating the promotion potential of candidates;
 - b. administering written tests, if any;
 - c. using assessment centers, if any;
 - d. conducting oral interviews prior to appointment to probationary status;

- e. providing procedures for review and appeal of results for each promotional element by candidates;
- f. establishing procedures for reapplication, if any;
- g. determining promotional eligibility for vacancies where lateral entry is permitted, if any; and
- h. security of promotional materials.

Commentary: The directive should describe all elements and procedures used in each promotional process and may be incorporated within a comprehensive personnel management or general policy and procedures manual.

Promotion-potential ratings may replace or supplement on-the-job performance evaluations and may be used to determine an employee's initial eligibility for promotion or for ranking candidates on a list. Written examinations (including answer keys, cutoff scores, passing points, and/or numerical rankings) may be administered for each classification, position, or rank. Promotional criteria for lateral entry may include both eligibility qualifications and formal procedures for carrying out the process. Oral interviews should include uniform questions and rating scales and assess a defined set of personal attributes; the interview results should be recorded on a standardized form.

The right of candidates to review and challenge all aspects of the promotion process is an integral part of the process itself. Candidates should be allowed to review and appeal all scores and evaluations related to their performance in the process to ensure fairness and impartiality. The administrative review and appeal process may be conducted by individuals from within and outside the agency. An impartial review and appeal process should reduce or eliminate litigation. (M M M)

4.4.4 All elements used to evaluate candidates for promotion are job related and nondiscriminatory.

Commentary: The intent of this standard is to ensure that candidates are evaluated by a promotion process that measures traits or characteristics that are a significant part of the job. It is not sufficient for an agency to merely say in a directive that its procedures are job related. However, there are a variety of means by which job relatedness can be shown.

An agency may choose, for example, to demonstrate that an oral examination measures traits that are shown by the job analysis to be significant or necessary to perform the job. An assessment center may be shown to measure the performance of tasks or skills that the job description has shown to be essential job functions. (See Section 3.1 regarding job analysis and job descriptions.)

The agency may also demonstrate job relatedness by validation of a testing element. For example, an agency may demonstrate statistically that a written test is a predictor of future job success by correlating test scores with the performance of individuals on the job. If high test scores can be associated with individuals that are successful, and vice versa, then the process may be legally considered a valid means of measurement if the correlation is statistically significant. Agencies will normally need competent professional assistance from personnel specialists before undertaking a validation study of this type. Many commercially available tests have done validation studies that may be helpful to an agency.

Nothing in this standard should be interpreted as preventing an agency from using a combination of methods to document the job relatedness of its promotion process. The goal of this standard is to ensure that the agency has the documentation necessary to make a logical and persuasive case in the event of a legal challenge and that the elements of the promotion process measure skills, knowledge, abilities, and traits needed to perform that job. (M M M)

4.4.5 The agency provides employees with a written announcement of the promotional process.

Commentary: Announcements should be posted prominently, and in a timely fashion, and be augmented by periodic verbal reminders at staff meetings, conferences, and shift training sessions. A concise description of the vacancy should be provided, including the salary and the duties, responsibilities, skills, knowledge, and abilities required. Eligibility should be established during a formal qualifying period. The description of the promotion process should be as detailed as necessary to indicate clearly to candidates what they can expect. Information should include expected duration of the entire process; format, length, and duration of the written examination, if any; a summary of the role of the oral interview; cutoff scores on written and oral evaluations; a description of the assessment center, if any; and the numerical weight assigned to each element of the process. **(M M M)**

- **4.4.6** A written directive establishes criteria and procedures for the development and use of eligibility lists, if any, to include, at a minimum:
 - a. the numerical weight, if any, assigned to each eligibility requirement;
 - b. the system of ranking eligible candidates on the lists;
 - c. time-in-grade and/or time-in-rank eligibility requirements, if any;
 - d. the duration of the lists; and
 - e. the system for selecting names from the lists.

Commentary: None. (M M M)

4.4.7 In the absence of controlling legislation, at least a six-month probationary period is required of all employees who are promoted, with any exceptions defined.

Commentary: The agency should include a probationary period among the final steps in the process to ensure newly promoted employees can assume the duties and responsibilities of the new positions, an intent consistent with selection procedures for entry-level telecommunicators. Employees on probation should be closely observed and evaluated frequently. Unsatisfactory performance should be identified and corrected early through counseling, training, or other suitable personnel actions to safeguard against the promotion of employees beyond their capabilities.

 $(0\ 0\ 0)$

Chapter 5 - Training

- **5.1.1** A written directive establishes a training committee in the agency and includes provisions for the following:
 - a. composition of the committee;
 - b. the process for selecting and replacing committee members;
 - c. the relationship of the training function to the committee;
 - d. authority and responsibilities of the committee; and
 - e. designation of the person or position to whom the committee reports.

Commentary: The training committee should assist in developing and evaluating training needs and serve as a focal point for input from those representing agency components. The role of the committee should be clearly established to promote effective committee operation and to prevent misunderstandings. **(N/A O O)**

5.1.2 A written directive governs attendance requirements for employees assigned to authorized agency training programs.

Commentary: The directive should describe exceptions and provide procedures for documenting attendance, excusing participants for such events as mandatory overtime, making up time that is missed as the result of excused and unexcused absences, and ensuring that employees are recognized for successful completion of the training program. **(M M M)**

5.1.3 A written directive governs agency reimbursements to employees attending training programs in or outside the agency's service area.

Commentary: The directive should describe the conditions under which reimbursement may be provided for mileage, meals, housing, fees, books, or materials for training programs conducted in or outside the agency's service area. **(O O O)**

- **5.1.4** The agency requires lesson plans for all training courses conducted by the agency, to include:
 - a. a statement of performance and job-related objectives;
 - b. the content of the training and specification of the appropriate instructional techniques;
 - c. a process for approval of lesson plans; and
 - d. identification of any tests used in the training process.

Commentary: The development of lesson plans should ensure that the subject to be covered in training is addressed completely and accurately and is properly sequenced with other training materials. Lesson plans establish the purpose of the instruction, set forth the performance objectives, relate the training to critical job tasks, and identify ethical consideration related to the topic. Consideration should be given to the relevance of training courses to the organization's mission and values. Lesson plans should be required of nonagency instructors as well as agency training staff.

The lesson plans should also include references, teaching techniques (lecture, group discussion, panel, seminars, debate), relationships to job tasks, responsibilities of the participants for the material taught, and plans for evaluation of the participants. The instructional techniques that should be incorporated are conferences (debate, discussion groups, panels, and seminars); field experiences (field trips, interviews, operational experiences, and operational observations); presentations (lecture, lecture-discussion, and lecture-demonstration); problem calls; and simulations (case study, games, and role-play). (M M M)

- **5.1.5** Personnel assigned to the training function receive training, which includes at a minimum:
 - a. lesson plan development;
 - b. performance objective development;
 - c. instructional techniques;
 - d. testing and evaluation techniques; and
 - e. resource availability and use.

Commentary: The agency should require that all instructors be given training prior to assuming their teaching responsibilities. This training should be periodically updated and geared to meet any specific instructional problems of the agency. If the agency desires instructors to meet state

instructor certification requirements, consideration should be given to meeting those requirements. (O O O)

5.1.6 A written directive requires the agency to update records of employees following their participation in training programs.

Commentary: As personnel complete training programs, the date of the training, the types of training received, any certificates received, attendance, and test scores should be recorded for each trainee. (M M M)

- **5.1.7** The agency maintains records of each training class it conducts, to include, at a minimum:
 - a. course content (lesson plans);
 - b. names of agency attendees; and
 - c. performance of individual attendees as measured by tests, if administered.

Commentary: The intent of the standard is to ensure that the agency documents the nature of the instruction, the identity of those attending the sessions, and the performance of the attendees. The standard would be satisfied in part by maintaining on file the lesson plans used by the course instructors. **(M M M)**

- **5.2.1** If the agency operates a training academy, a written directive requires provisions for the administration and operation of the academy, to include:
 - a. a statement of the academy's goals and responsibilities;
 - b. organization and staffing:
 - c. administrative procedures; and
 - d. operating procedures.

Commentary: The agency may wish to develop a manual that addresses the operational and administrative requirements of the academy. The directive, or manual, should also identify the physical plant and other facilities that are the responsibility of the academy. **(M M M)**

- **5.2.2** If the agency operates an academy facility, the facility includes, at a minimum:
 - a. classroom space consistent with the curriculum being taught; and
 - b. office space for instructors, administrators, and secretaries.

Commentary: The agency should have access to training facilities but need not necessarily own the facilities. The size and type of the facilities should be consistent with the academy curriculum. (M M M)

5.2.3 If agency personnel are trained in an outside academy, a written directive describes the relationship between the agency and the outside academy.

Commentary: An agency may choose to avail itself of new-hire, in-service, or specialized training in an academy not operated by the agency, e.g., regional academy or state-operated academy. Regardless of the reasons for participation, the written directive should provide the basis for the agency's participation in the academy to ensure that training needs are being met. To safeguard the interests of both the agency and the academy while agency personnel are attending academy training, the directive should also specify any legal liabilities of the agency

and/or academy. The directive should also describe: the legal basis for participation in the academy; the relationship of the agency training function and the agency to the academy; the process for providing agency input to the academy program; the circumstances under which the agency provides staff, facilities, instructors, and other resources to the academy; financial obligations of the agency to the academy; and the method for determination of the legal liability of the participating agencies. **(M M M)**

5.2.4 The academy provides an orientation handbook to all new entry-level personnel at the time academy training begins.

Commentary: In the new environments of both the public safety communications profession and a communications training academy, new personnel should be provided with information concerning the organization of the academy; the academy's rules and regulations; the academy's rating, testing, and evaluation system; fitness and proficiency skill requirements; and daily training schedules. **(O O O)**

5.2.5 If agency personnel are trained in an outside academy, a written directive governs the training to be received by agency personnel regarding agency policies, procedures, rules, and regulations.

Commentary: In addition to the training and skills taught at an outside academy, the agency should provide instructions in policies and procedures that are specific to the agency. The written directive may provide for such training at the outside facility or after the personnel return to the agency following completion of training. **(M M M)**

5.3.1 The agency requires all newly hired telecommunicators to complete a training program prior to routine assignment in any capacity in which the telecommunicator is allowed to answer emergency calls or is in a position to make dispatching decisions, except as part of a formal communications officer field training program required in standard 5.3.2.

Commentary: The intent of this standard is to preclude assigning persons to positions requiring the answering of emergency calls for service or making dispatching decisions until they successfully complete a structured entry-level training course. Those persons who have been hired, but who have not yet completed the basic training course, could be used in such positions as answering non-emergency calls, records, or other activities where specialized training is not required. An exception is allowed for those trainees participating in the formal, communications officer, field-training program required in standard 5.3.2. (M M M)

- **5.3.2** A written directive establishes a communications officer training program for new hires including both classroom training and a field-training program, which include provisions for the following:
 - a. a curriculum based on tasks of the most important and frequent assignments;
 - b. use of evaluation techniques and guidelines designed to measure competency in the required skills, knowledge, and abilities;
 - c. field training of at least four weeks for trainees, during and/or after the required classroom training;
 - d. rotation of new hire assignments; and
 - e. provisions for training or orientation of lateral-entry personnel, if permitted.

Commentary: At a minimum, entry-level classroom training should meet the requirements established in APCO's "National Public Safety Telecommunicator Training Standard" (#33), or

another similar program, which requires 40 hours of suggested training. The goal of field training is to provide trainees with on-the-job experiences following the completion of classroom training as required. A minimum four-week period permits time for rotation of new hires among the various training activities and objectives with which they may be familiar. In some cases, communications training may be presented at intervals as part of a logically coherent classroom-training program. Here, training is managed by providing classroom training followed by a short segment in the communications center to provide the trainee with on-the-job experience in those curricular areas just covered in the classroom. Whether presented during and/or after the classroom training, field training should be a closely supervised process, as the initial experience of recruits often shapes their future careers.

The communications field-training program is an important adjunct of the formal new hire classroom training and should be as carefully organized, administered, and evaluated as classroom training. The communications training program should be closely allied with the academy so that communications training officers (CTOs) are aware of what skills and subjects have been taught and what roles the CTOs are to assume (5.3.8).

The relevance of the communications field-training experience may be enhanced by providing guidelines to CTOs that define the responsibilities of the CTO and provide specific direction about the skills, knowledge, and abilities to be assessed, taught, or performed. The evaluative responsibilities of the CTOs should also be identified. (M M M)

5.3.3 A written directive requires all public safety agency personnel to complete an annual retraining.

Commentary: The agency should ensure that personnel are kept up to date with new laws, fire and EMS procedures, technological improvements, and revisions in agency policy, procedures, rules, and regulations. The mandatory retraining may also be designed to provide supervisory, management, or specialized training to participants. Retraining may be used to supplement promotional training, training prior to assignment to a specialized component, or executive development training for higher-level employees. The agency should ensure that information included in retraining is included on promotional examinations.

The program should be structured in such a way as to motivate experienced telecommunicators and to further the professionalization of the agency. The training should include a review of the following topics: agency policy, procedures, and rules and regulations with emphasis on changes; values, ethics, and integrity taking into consideration cultural influences, policy compliance, and doing what is correct rather than what is not illegal; statutory case law affecting communications center operations, with emphasis on changes; interviewing techniques; the performance evaluation system; emergency medical service as it affects the communication operations; emergency fire suppression techniques as they relate to the agency; new or innovative technological techniques or methods, if any; hazardous materials incidents; contingency plans, if any, including those relating to special operations and unusual occurrences; report writing and records system procedures and requirements; and victim/witness rights, policies, and procedures. (M M M)

5.3.4 A written directive governs shift training.

Commentary: Shift or pre-shift training is a technique that may supplement all other training. Shift training may be a useful element of agency training, if it is well managed and supervised. The goal of this training should be to keep telecommunicators up to date between formal retraining sessions. Agencies, which do not have formal shift training, may accomplish the purpose of shift training through other methods. To be useful to the agency, the shift training program should be well structured and reflect the needs of the agency while being flexible enough to fit into the agency's setting. The written directive should include: planning for shift training; techniques used in shift training; relationships with the academy; instructional methods;

instructional personnel; evaluation of shift training; scheduling of training; and role of supervisors and telecommunicators. (O O O)

5.3.5 A written directive establishes agency policy concerning remedial training.

Commentary: The directive should include the circumstances and criteria used to determine the need for remedial instruction, the timetables under which remedial training is provided, and the consequences of participation or nonparticipation by the affected personnel. The directive should recognize the uses of remedial instruction in other-than-entry-level training. **(M M M)**

- **5.3.6** Familiarization with the accreditation process is provided to agency employees as follows:
 - a. to all newly hired agency personnel within a reasonable period after their employment begins;
 - b. to all agency personnel during the self-assessment phase associated with achieving initial accreditation and each reaccreditation; and
 - c. to all agency personnel just prior to an on-site assessment associated with initial accreditation and each reaccreditation.

Commentary: The intent of this standard is twofold. First, it ensures that all employees are familiar with accreditation and what it entails during the self-assessment process. Second, familiarizing new employees with the process will provide a historical perspective and emphasize the importance of accreditation to the organization. It is recommended that familiarization include the history and background of accreditation and the agency's involvement in the process, the accreditation process, the goals and objectives of accreditation, and the advantages of accreditation and its impact on the agency. Familiarization may be achieved by such means as classroom instruction, newsletter, memo, and periodic attendance by management staff at meetings of the Commission on Accreditation for Law Enforcement Agencies, Inc. **(M M M)**

- **5.3.7** A written directive identifies the functions for which specialized training is required, and includes the following:
 - a. development and/or enhancement of the skills, knowledge, and abilities particular to the specialization;
 - b. management, administration, supervision, personnel policies, and support services of the function or component; and
 - c. supervised on-the-job training.

Commentary: The agency should identify all of the functions for which both pre- and post-assignment specialized training is required. (M M M)

- **5.3.8** The agency has a written directive concerning communications training officers that includes:
 - a. a selection process;
 - b. training and in-service training of trainers;
 - c. supervision of trainers;
 - d. reporting responsibilities of trainers; and
 - e. liaison with the academy staff, if applicable.

Commentary: The selection process for CTOs is crucial to a successful program as many of the values, tactics, and attitudes of CTOs are transmitted to inexperienced telecommunicators. Initial training, as well as periodic in-service training, should be provided to CTOs to prepare them for and keep them current with their assigned responsibilities. **(O O O)**

5.3.9 A written directive establishes training requirements for all personnel assigned by the agency to conduct career development activities.

Commentary: Personnel, such as supervisors and counselors, who are assigned to conduct career development activities, should undergo a period of orientation that should provide increased

knowledge and skills in at least the following areas: general counseling techniques; techniques for assessing skills, knowledge, and abilities; salary, benefits, and training opportunities of the agency; educational opportunities and incentive programs; awareness of the cultural background of ethnic groups in the program; record-keeping techniques; career development programs of other jurisdictions; and availability of outside resources. **(NA O O)**

5.3.10 The agency provides job-related training to all newly promoted personnel.

Commentary: Such training should be commensurate with their new duties and should take place either prior to promotion or within the first year following promotion. (**M M M)**

Chapter 6 - Operations

6.1.1 If the communications function is provided by a shared or multijurisdictional entity, written agreements or authorizing documents govern the authority and responsibility of both the agency and the entity, and include, at a minimum, provisions for complying with all applicable standards for this function on behalf of the agency.

Commentary: When the communications function is shared or delegated to another entity, it is necessary to specify accountability. **(M M M)**

6.1.2 A written directive requires that the agency's radio operations be conducted in accordance with Federal Communications Commission (FCC) procedures and requirements or other appropriate legal requirements.

Commentary: None. (M M M)

6.1.3 To the extent they are involved, the policies and procedures of the agency are approved by the principal public safety agencies.

Commentary: To ensure the proper prioritization, necessary information gathering, evaluation, and proper timely action by the telecommunicator, the agency should establish policies and procedures that meet the needs of the principal public safety agencies for which the communications center is providing services. **(O O O)**

6.1.4 The agency has a written policy concerning dissemination of information obtained by employees during the course of employment:

- a. to other agencies;
- b. the public; and
- c. over communication networks.

Commentary: The agency needs to address these issues and monitor policy compliance. The inappropriate or accidental release of information could jeopardize investigations and hold members of the public up to public review or ridicule. Besides being unprofessional, it is a source of potential liability. **(M M M)**

6.1.5 Supervisors make and document quality checks of telecommunicators' handling of calls.

Commentary: This can be direct monitoring of calls or by playback of recordings. The quality checks should cover all aspects of the transaction to ensure compliance with agency directives and indicate areas where training or guidance is needed. Recordings of unique situations may be retained for training purposes. **(M M M)**

6.1.6 The agency identifies items for daily disposal and has procedures for the disposal of miscellaneous work-sensitive documents.

Commentary: This can include computer printouts, copies of call cards, working notes or other documents that are disposed of daily but contain information that could identify citizens, involve investigations, etc. Care must be taken to comply with applicable public records laws. **(O O O)**

- **6.2.1** Communications personnel have immediate access to at least the following departmental resources:
 - a. communications supervisor in charge;
 - b. duty roster of all personnel;
 - c. residential telephone number of every agency member;
 - d. visual maps detailing the agency's service area;
 - e. public safety officer status indicators:
 - f. written procedures and telephone numbers for procuring emergency and necessary external services to the agency;
 - g. tactical dispatching plans;
 - h. multi-casualty incidents plans or procedures; and
 - i. HAZMAT plans or procedures.

Commentary: Communications personnel are often required to contact agency members both on and off duty. They should, therefore, have immediate access to such information as their working hours and residential telephone numbers.

Public Safety Responder (PSR) status indicators allow communications personnel to know the status of every responder under their control. All responders depend on the communications center to recognize when they may be in danger, so it is imperative that units report their status to communications and that communications personnel correctly record it (see 6.3.1). Communications personnel also have the need to call other public service agencies, such as those pertaining to highway and transportation, public utilities, social services, and animal control. They should have these and other telephone numbers immediately available by private line, telephone index, or other means that could expedite contacting the agencies.

Dispatching plans should include procedures to be followed in directing resources and obtaining information on crimes in progress, e.g., bank robbery, and/or tactical operations, e.g., major fires. (M M M) Compliance may be OBSERVED.

- **6.2.2** A written directive, which is immediately available to communications center personnel receiving calls, describes procedures to be followed, including:
 - a. judging characteristics of the call to determine whether an emergency or nonemergency response is required;
 - b. the handling of emergency calls, priority calls, and calls requiring special response; and
 - c. handling non-emergency and administrative calls by informing the caller of the public service agency's response, including direct contact with fire, EMS, or law enforcement services and/or referral to other agencies.

Commentary: Communications center personnel are normally the first point of contact for a citizen and this initial contact can set a tone which could affect the ultimate outcome of an incident. Written procedures should be available to communications center personnel regarding the proper handling of such calls. In addition to local training, where available, personnel should attend and be certified in call taking/dispatching by a regional, state, or other competent authority. **(M M M)**

6.2.3 The agency has written policy and, if necessary, procedures for pre-arrival instructions by telecommunicators.

Commentary: The agency should decide if pre-arrival instructions should be given and in what situations. It is inherent that the instructions must be appropriate to minimize potential liability. The provision of proper instructions can be of great public service saving lives and assisting first responders. **(M M M)**

- **6.2.4** A written directive establishes procedures for obtaining and recording relevant information of each request for service or initiated activity, to include:
 - a. control number;
 - b. date and time of request;
 - c. name and address of complainant, if possible;
 - d. type of incident reported;
 - e. location of incident reported:
 - f. identification of unit(s) assigned as primary and backup;
 - g. time of dispatch;
 - h. time of first arrival:
 - i. time of last unit to return to service; and
 - j. disposition or status of reported incident.

Commentary: A control system can be a card, log, or computer entry that permits a permanent record to be maintained. Such records permit the agency to establish a control system to ensure a comprehensive field-reporting program. This information should be recorded for all requests, including those received by telephone, letter, in person; self-initiated by public safety units; or reported to, or by, units in the field.

The control number should be affixed to a communication center control record and the call disposition and the result noted thereon. The number may serve as the basis for filing and

retrieving subsequent reports of the incident, but it is indispensable for auditing the communications and records systems.

The procedures should encourage eliciting as much information as possible to enhance the safety of the assigned unit and assist in anticipating conditions to be encountered at the scene. This is particularly important in certain categories of calls, and checklists may be provided to obtain additional information. (M M M)

- **6.2.4** A written directive establishes procedures for obtaining and recording relevant information of each request for service or initiated activity, to include:
 - a. control number:
 - b. date and time of request;
 - c. name and address of complainant, if possible;
 - d. type of incident reported;
 - e. location of incident reported;
 - f. identification of unit(s) assigned as primary and backup;
 - g. time of dispatch;
 - h. time of first arrival;
 - i. time of last unit to return to service; and
 - j. disposition or status of reported incident.

Commentary: A control system can be a card, log, or computer entry that permits a permanent record to be maintained. Such records permit the agency to establish a control system to ensure a comprehensive field-reporting program. This information should be recorded for all requests, including those received by telephone, letter, in person; self-initiated by public safety units; or reported to, or by, units in the field.

The control number should be affixed to a communication center control record and the call disposition and the result noted thereon. The number may serve as the basis for filing and retrieving subsequent reports of the incident, but it is indispensable for auditing the communications and records systems.

The procedures should encourage eliciting as much information as possible to enhance the safety of the assigned unit and assist in anticipating conditions to be encountered at the scene. This is particularly important in certain categories of calls, and checklists may be provided to obtain additional information. (M M M)

6.2.5 A written directive establishes procedures for prompt handling and appropriate routing of misdirected emergency calls.

Commentary: It is common for one agency to receive emergency telephone calls intended for another public service agency. Agencies should accept any misdirected emergency call and promptly relay information to the agency having jurisdiction if the ability to transfer the caller directly to that jurisdiction does not exist. **(M M M)**

6.2.6 The agency has written procedures for handling hang-up emergency or 911 calls.

Commentary: While the vast majority of hang-up calls are false or otherwise not an emergency, the agency must be prepared and respond to these calls. It is possible that the person calling could be confused, physically incapacitated, or under a physical threat that prevents them from speaking or from reporting what is truly occurring.

Even when there is a callback and a statement that there is no emergency, there are circumstances that still require a prompt follow-up by emergency responders. (M M M)

6.2.7 The agency has written procedures for handling calls from persons that seem under substance influence, are difficult, or are obscene.

Commentary: Calls that appear as coming from a person under the influence of alcohol or drugs may instead be from a person suffering from a medical or mental incapacitation. Even the intoxicated may pose a threat by driving or taking some other unpredictable action that may endanger themselves or others. Some callers may use obscene and abusive language and while a telecommunicator disconnect may be appropriate in many cases, it is imperative that the call taker first establish enough information to ensure that there is in fact not an emergency or priority service call involved in the situation. It may be necessary to handle the call to obtain necessary information. The agency should also establish a policy on following up such calls with other appropriate action. **(M M M)**

6.2.8 If the agency has a system for receiving specified public safety information by telephone or through the mail, in lieu of on-scene response, a written directive specifies the criteria for acceptance.

Commentary: The intent of this standard is to improve the use of field resources. Some crime or service calls do not require the dispatch of public safety field resources and can be effectively handled by receiving information in an alternative manner. The agency should develop a procedure for taking information by telephone, including a list of call types that can be dealt with in an alternative manner or by referring the information to the appropriate agency. **(M M M)**

- **6.2.9** If the communications center monitors alarms, a written policy or procedure covers:
 - a. circumstances and conditions under which the agency monitors alarms; and
 - b. procedures for monitoring alarms and responding to alarm activations.

Commentary: The agency should seek regulating legislation concerning the installation and maintenance of the various alarm systems. Such legislation should specify sanctions for excessive false alarms. Care should be exercised in considering private home alarms that result in multiple calls to the communication center. The agency's policy should also consider the availability of commercial alarm companies to service business alarms. **(M M M)**

6.2.10 If the agency authorizes emergency first-aid instruction over the telephone or radio, employees must be trained and have immediate access to approved emergency medical guidelines or materials.

Commentary: The training should be approved by a competent authority and should be designed to provide emergency life-saving information to callers until emergency medical personnel arrive at the scene. Retraining should also be provided on a schedule approved by a competent authority. The material/guidelines and training should be complementary. **(M M M) Compliance may be observed**.

6.2.11 The agency has the ability to communicate with other-than-English-speaking callers.

Commentary: The translator does not have to be an agency employee or be physically in the telecommunications facility. Translation may be obtained from a professional or volunteer service

on an as-needed basis. However, procedures should be designed so the translation can be provided quickly and permit direct communication between the translator, the person calling for emergency assistance, and the responsible telecommunicator. (O O O)

- **6.3.1** A written directive establishes procedures for radio communications to and from field units, to include:
 - a. specification of the circumstances requiring radio communications to field officers;
 - b. the recording of the status of public safety responders when out of service;
 - c. the methods used for identifying officers during radio transmissions;
 - d. communication with interacting agencies;
 - e. procedures to designate and use special operating channels for tactical operations or special operations;
 - f. procedures for responding to field personal emergency alarms, when the capability exists; and
 - g. monitoring the officer responder status system.

Commentary: Identification systems should be based on zone numbers, other assignment numbers, or Public Safety Officer (PSO) identification numbers. Operations are more efficient and public safety officer well-being is enhanced when telecommunicators, supervisors, and fellow public safety officers know the status of police officers, EMS personnel, and/or firefighters, their locations, the nature of the situation, and the progression of events. The administrative control system can be maintained on a card, log sheet, computer record, or any instrument that permits a permanent record to be retained.

When dispatching calls, operators also need to know which vehicles are available for service. A hand-written form updated by communications personnel would satisfy this standard. Monitoring the officer responder status system means telecommunicators should know where and how long each public safety officer responder has been out on a call, including any safety time limits, and is alert for any visual or audio alarm that the PSO needs assistance. (M M M)

- **6.3.2** Criteria are developed and are available to communicators addressing the following:
 - a. the assignment and number of personnel and units for specific types of incidents:
 - b. the assignment or notification of a supervisor at the scene; and
 - c. determining the level and staging areas for fire or EMS incidents.

Commentary: The criteria should relate to a list of critical factors, e.g., officer or firefighter needs assistance, life hazard situation, or felony in progress. The lists should be available to all communicators. (M M M)

6.3.3 A written directive specifies criteria for accepting and delivering emergency messages.

Commentary: Delivering emergency messages (death notifications, check on the welfare, etc.) is a legitimate emergency service function. However, guidelines should be established to define the types of messages to be accepted, the method by which they will be accepted, and how, when, and by whom they will be delivered. **(M M M)**

6.3.4 A written directive establishes procedures for notifying next of kin of deceased, seriously injured, or seriously ill persons.

Commentary: None (O O O)

6.3.5 A written directive specifies procedures for maintaining records of all vehicles removed, stored, or towed at the direction of a public safety officer.

Commentary: Whenever a vehicle is removed or towed at the direction of a PSO, a written record should be made of the time, date, location, requesting officer, reason for removal or tow, charges pending, towing service, location of the vehicle, and notification or attempted notification of the registered owner. **(M M M)**

- **6.4.1** Security measures for the communications center are in place to:
 - a. limit access to the communications center to authorized personnel;
 - b. protect equipment;
 - c. provide for back-up resources;
 - d. provide security for transmission lines, antennae, and power sources; and
 - e. provide evacuation plan, which includes the transfer of responsibilities and services to an alternate site.

Commentary: The capability to maintain communications in all emergency situations dictates that security measures be implemented to protect communications personnel, facilities, and equipment. Protective measures may include locating the center and equipment in areas providing maximum security, installing alarm buttons and bullet-resistant glass in areas of public access, and restricting access to the communications center. Providing security for equipment may be done with a combination of security cameras, fences, or other measures based on the needs of the agency.

(M M M) Compliance may be OBSERVED.

6.4.2 The agency has an alternate source of electrical power that is sufficient to ensure continued operation of emergency communication equipment in the event of the failure of the primary power source. A documented inspection and test of the alternate power source is completed at least monthly or in conformance with manufacturer recommendations.

Commentary: Disruptions in the primary power source frequently occur. The agency should ensure continuous emergency communications capability through an alternate power source. The readiness of the alternate equipment should be ensured by reasonable testing or self-testing of the technology employed. Testing of alternate equipment should be carried out under a full load. **(M M M) Compliance may be OBSERVED.**

6.4.3 The agency has an independent back-up communications system and a documented test is performed at least monthly.

Commentary: The independent system should have separate antennae, be at a different and secure location, have access to another power supply, and may combine some items such as radios, vehicle mobile data computers, and cellular phones. The system should ensure that it is adequate to meet basic requirements of agencies that may be involved in unusual situations. (See subsection 6.9, Unusual Occurrences.) **(O O O)**

6.4.4 If local, state, and federal criminal justice information systems exist, the agency participates and/or has access to such a system. If available, personnel must be certified, and maintain that certification, by an appropriate regional or state authority in the operation of the information systems.

Commentary: The effectiveness of investigative efforts depends heavily upon the quality of information resources. Agencies should have the equipment they need to gain access to information from nearby agencies, regional law enforcement information networks, statewide information resources, the National Crime Information Center, and CHEMTREC. Agencies outside the United States should access like systems, if available. If not available, this standard does not apply. **(M M M) Compliance may be OBSERVED.**

6.4.5 The agency has the ability to encode sensitive communications.

Commentary: In some situations, the encoding or scrambling of sensitive communications can enhance the safety and success of first responders by reducing the opportunity for persons to take advantage of emergency transmissions. **(O O O)**

6.5.1 The agency provides 24-hour, toll-free voice and TDD telephone access for emergency calls for service.

Commentary: The public should be able to contact the communications center at all times for information or assistance that may be needed in emergencies. Agencies that are unable to maintain 24-hour telephone service should arrange for such service through neighboring departments, sheriff's departments, or the state police. Access to emergency services should be toll free within the agency's jurisdiction or permit free access to the operator. Each emergency answering point for the agency should be equipped with a TDD or TTY machine in order to ensure that persons who are hearing impaired will have equal access to emergency services (Americans with Disabilities Act). (M M M) Compliance may be OBSERVED.

6.5.2 The agency uses a single emergency telephone number.

Commentary: The ability of citizens to telephone quickly and easily for emergency service is critical. If the jurisdiction does not have a 911 system, it should make every effort to adopt an easily remembered phone number to be used by citizens in emergency situations. The phone number may be prominently displayed in phone books, on agency vehicles, in public phone booths, and in other conspicuous places. Regarding state law enforcement and certain other agencies, multiple points of contact may be required because of the decentralized nature of those agencies, and the large geographical areas involved. (M M M) Compliance may be OBSERVED.

6.5.3 The agency's telephone system is designed to separate emergency from non-emergency calls.

Commentary: The potential for receiving a busy signal on an emergency line can be significantly reduced by routing incoming administrative and outgoing calls to a separate line or lines. Line separation may also free up communications personnel to handle emergencies and other important matters in a more efficient and effective manner. **(O O O) Compliance may be OBSERVED.**

6.5.4 The agency has the capability of immediate playback of recorded telephone and radio conversations while it maintains a continuous recording of radio transmissions and emergency telephone conversations within the

communications center. A written directive establishes procedures for the following:

- a. a requirement that recordings be retained for a minimum period of 30 days;
- b. secure handling and storage for recordings; and
- c. criteria and procedures for reviewing recorded information.

Commentary: Additionally, these recordings are an indispensable source of information for criminal, fire/EMS, civil investigations, and internal investigations. Agency training and audits of the agency's service delivery system are also enhanced. Access to secure recordings should be limited and available only through a specific procedural method.

The agency must have the capability to replay a conversation while recording other calls and radio transmissions because the citizen requesting service or the responder needing assistance may not be able to repeat their request in an emergency, or the conversation was garbled or too quick for easy understanding.

The capability of continuous recordings can be provided with a parallel dual-load recorder. (M M M)

6.6.1 The agency has 24-hour, two-way radio capability providing continuous communication between the communications center and service providers on duty.

Commentary: Immediate communications capability provides a measure of safety and security to service providers and the public.

The intent of this standard is to ensure that on-duty service providers have the means for constant radio communication. In most situations, portable transceivers are required to enable those away from their vehicles to maintain communications with the dispatch center for exchanging information, requesting assistance, receiving orders or instructions, and responding to calls for service. In some remote geographic areas where portable transceivers are ineffective, mobile transceivers may be acceptable. (M M M) Compliance may be OBSERVED.

6.6.2 The agency has multichannel radio equipment capable of two-way operation on a joint public safety frequency or frequencies.

Commentary: This communications capability among public safety agencies, such as fire departments, ambulance services, public utilities, etc., is necessary to provide proper coordination and deployment of forces in times of emergencies. The capability may range from simple unit-to-unit arrangements to interagency and statewide networks. **(O M M) Compliance may be OBSERVED.**

6.6.3 If the agency is required to access an interjurisdictional, regional, or public safety radio system, the communications function has, at a minimum, the necessary equipment to access that system.

Commentary: Access to the system may be direct, through another agency, or by means of a relay system.

The agency will comply if its communications center, at a minimum, has the capability of receiving and transmitting on behalf of the entire agency. (M M M) Compliance may be OBSERVED.

- **6.7.1** A written directive establishes privacy and security precautions for the agency's records and, at a minimum, includes the following:
 - a. physical security and controlling access to agency files; and
 - b. procedures and criteria for the release of agency records.

Commentary: The privacy and security precautions for the central records function should be in accord with agency policy, local ordinance, and/or state or provincial statutes. The privacy and security of criminal history record information (CHRI) should be in accord with appropriate national regulations in regard to dissemination, completeness and accuracy, audits, security requirements, access, and review.

The agency should determine the physical security requirements for the facility and decide who is authorized to access agency files. Facility and file security ensure the integrity of the system and the information it contains. (M M M)

6.7.2 The agency has a records retention schedule.

Commentary: The schedule for retaining records should be consistent with legal requirements. **(M M M)**

6.7.3 A written directive establishes procedures for the collection and submission of necessary data that may be required by client public safety agencies.

Commentary: The communications agencies may provide a number of support roles for its service agencies. The collection and dissemination of information for these agencies assist in planning and other contingent efficiencies. **(O O O)**

- **6.7.4** If the agency is involved with reporting incidents, then a written directive establishes a reporting system to include:
 - a. guidelines to indicate when reports must be written;
 - b. forms to be used in reporting:
 - c. information required in reports;
 - d. procedures to be followed in completing reports; and
 - e. procedure for submitting and processing reports.

Commentary: This directive may be in the form of a reporting manual that describes and illustrates the information to be included on report forms. The document should be all-inclusive and serve as the complete user's guide, as well as a resource guide in all reporting situations.

The forms may also be consolidated to serve the purposes identified in the standard. The call card, special, or miscellaneous incident report can be initiated by dispatchers and may serve as a control document and/or as the full report of a miscellaneous incident.

The agency should adopt a set of forms to standardize reporting and structure them to ensure that basic information is captured for all crimes and incidents. Samples of the forms should be included with clear instructions for filling out and submitting the reports.

If the agency is using a computerized system, the guide should address procedures for use. (M M M)

- **6.7.5** A written directive requires the recording of every incident in one or more of the following categories if the incident is alleged to have occurred in the agency's service area and is reported to the communications center:
 - a. citizen reports;
 - b. citizen complaints;
 - incidents resulting in an employee or the public service agency being dispatched or assigned;
 - d. criminal and non-criminal cases reported by public safety employees; and
 - e. incidents involving arrests.

Commentary: The purpose of this standard is to require a comprehensive reporting system. A record should be made of actions taken by public safety personnel whether in response to a request for service or for self-initiated actions. If two or more persons report the same incident, only one entry should be required.

The directive should establish procedures to ensure that proper action is taken to investigate complaints, evaluate suggestions, and correct deficiencies or refer them to proper authorities for correction. The person making the complaint or suggestion should be notified of the action taken. This may be contained in the agency's general reporting document. **(M M M)**

6.7.6 A written directive establishes a case-numbering system, with provisions for the assignment of a unique number to every case.

Commentary: A single numbering series (case or incident number) should be employed for all incidents or calls. Some activities, such as the issuance of traffic citations and fire inspections, need not be recorded as numbered cases. The numbering system should be designed to ensure that all cases receive a number, no numbers are omitted, and no numbers are duplicated. **(M M M)**

6.7.7 If records and reports are taken, then a written directive establishes procedures for the distribution of reports and records.

Commentary: The directive should specify which reports should be routed to the various specialized functions or organizational components for follow-up, and those to be distributed outside the agency. **(O O O)**

6.8.1 All computer and other programs are properly licensed and used according to copyright laws.

Commentary: By following appropriate copyright and licensing laws, agencies avoid potential liability and service problems. **(M M M)**

6.8.2 The agency takes precautions to guard computer systems from computer viruses.

Commentary: Besides written procedures and management oversight, the agency should install anti-virus programs, review these programs frequently, and update them as necessary. **(O O O)**

6.8.3 A written directive establishes policy for the introduction, removal, alteration, or downloading of computer files or programs.

Commentary: Control over computer system manipulations reduces the possibility of system damage, unauthorized use, and loss of information. **(O O O)**

- **6.8.4** If the agency uses or has access to e-mail, the Internet, or other public computer systems, it has written policies and procedures directed toward:
 - a. liabilities and risks involved;
 - b. risks to computers and software programs;
 - c. expectations of privacy;
 - d. approved activities;
 - e. prohibited activities; and
 - f. management review of activities.

Commentary: Casual or improper use of e-mail or information access systems can create liability problems for the agency from both employees and the public. Employees need clear guidance as to what is acceptable and why downloading these systems may introduce unknown viruses and possibly pose a threat to computer systems and records integrity. **(M M M)**

6.8.5 The computer records and security system is inspected for access violations and improper use at least quarterly. The inspection shall include verification of all passwords or access codes.

Commentary: The integrity of a computer system is only as good as the security system in place and management oversight. A periodic check of passwords, access codes, other security devices along with ensuring proper use of the information will help maintain the integrity of the system and the security of all the records. **(M M M)**

- **6.8.6** A written directive establishes procedures for back-up computer information, including:
 - a. backup, use, and storage of computer files;
 - b. off-site storage of back-up media;
 - c. security of back-up files and media; and
 - d. destruction of back-up files and media.

Commentary: Computer files should be backed up according to a regular schedule. Copies of media tapes should be stored off-site in a secure facility or area. Information that is purged or hardware that may contain information should be disposed of so information cannot be reconstructed by unauthorized persons. **(M M M)**

6.9.1 A written directive specifies a position in the agency responsible for coordinating the planning function for response to unusual occurrences.

Commentary: The agency should coordinate its plans with other major public safety agencies. At a minimum, this would include police, fire, EMS, and mutual aid agencies. (M M M)

- **6.9.2** The agency has a written plan for responding to unusual occurrences that includes:
 - a. personnel requirements;
 - b. special communication needs:

- c. situation maps and plans;
- d. chain of command (to include other agencies);
- e. notifications:
- f. other agency support;
- g. release of information;
- h. equipment and logistical requirements;
- i. facility security; and
- j. post-review of operation.

Commentary: None. (M M M)

6.9.3 Agency equipment designated for use in unusual occurrence situations is inspected at least once each month for operational readiness.

Commentary: To ensure the readiness of equipment to be used in support of emergency operations, unusual occurrence plans should show the numbers and types of equipment and supplies needed for various emergencies. At a minimum, plans should provide for the location, number, maintenance, and inspection of items of equipment. **(M M M)**

6.9.4 Emergency operations plans are accessible to all supervisory personnel and are reviewed and updated as needed.

Commentary: None. (M M M)

6.9.5 The agency has written plans to maintain essential communications in the event of an unexpected loss of the communications function or facility.

Commentary: This may include the actual destruction or temporary loss of the facility, or the loss of the ability to provide emergency communications due to unusual conditions. While there is a standard for a back-up radio system (6.4.3), plans need to address access to the communication center by phone and other means. **(M M M)**